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ABSTRACT

This study evaluates the impact and effectiveness of the Library Research and Demonstration Program of the Higher Education Act (HEA II-B), and Title III, Interlibrary Cooperation, of the Library Services and Construction Act (LSCA III), USOE administered grant programs to aid in developing and improving library and information services. It determines the extent to which each program accomplished its objectives; identifies factors contributing to the success and/or failure of each; and recommends possible postures in Federal policy affecting each. Methodological approaches for each program included a review of the related legislation and literature, and interviews with key policymakers. For HEA II-B, a telephone survey of project directors that received funding in 1971-76, and of 41 research and demonstration peers were conducted, as well as case studies of 12 HEA II-B demonstration projects. For LSCA III Programs, a mail survey was conducted of all State Library Agencies and all library cooperative and networking projects, in addition to case studies in 10 states. This report provides a description of the methodology utilized; a model describing the transforming of library related innovations into basic library information services, and the relationship among the Federal Programs in that process; study findings; and recommendations to focus and strengthen these programs. (Author/MBR)

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A STUDY OF LIBRARY COOPERATIVES, NETWORKS AND DEMONSTRATION PROJECTS

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
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EDUCATION

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FINAL REPORT

VOLUME I

FINDINGS AND RECOMMENDATIONS

March 31, 1978

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For:

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The study also benefitted from the presence of an Advisory Committee whose membership was representative of persons in the forefront of the library and information science community. The Committee provided guidance and criticism throughout the study and while they are not responsible for the ideas put forth here, they certainly were instrumental in the formulation of those ideas. The Committee Members were: Donald Black; Ethel Crockett; Dr. Evelyn Daniel; Beth Hamilton; Barbara Evans Markuson; Dr. Kathleen Molz; Dr. Ann Prentice; Nettie Taylor; Jose Toro; and Alphonse Trezza. Mr. Rodney Lane served as a special consultant to the study. The organizational affiliations of each of these persons is provided in Appendix E.

We would also like to acknowledge Dr. Vinita Mathur, the Co-Project Director for the first year and who saw the project through some of its most difficult times. We gratefully acknowledge the efforts of Ms. Margaret Brandis who edited this report. Ms. Jane Rooney was responsible for much of the data collection activity on a day-to-day basis. Finally, we acknowledge the guidance and review provided by Dr. Steven Frankel throughout the project.

EXECUTIVE SUMMARY

1: INTRODUCTION

The objective of this study was to evaluate the impact and effectiveness of two USOE administered grant Programs to develop and improve library and information services. The two Programs were:

- HEA II-B Library Research and Demonstration Program, enacted by the Congress (P.L. 89-329 and P.L. 92-138) in 1965 for the purpose of providing discretionary grants to support research and demonstration in the fields of library and information sciences. Since 1971,[1] the Program has provided $11.13 million for this purpose, and currently provides $1 million in grants each Fiscal Year; and
- Title III, Interlibrary Cooperation, of the Library Services and Construction Act (LSCA III), enacted by the Congress (P.L. 91-600) in 1966 for the purpose of providing categorical, nonmatching grants to the State Library Agency in each of the 56 States and possessions for the purpose of planning, developing and operating cooperative library networks at the local, regional, State, and multistate level. Since 1966, the Program has provided $34.8 million to the States, and currently provides $3.37 million each Fiscal Year.

To assess these Programs, the study addressed three objectives:

- To determine the extent to which each Program had accomplished its objectives;
- To identify the factors which contributed to the success or failure of each Program; and
- To recommend possible postures in Federal policy affecting each program.

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[1] This study has focused on the Program from 1971 to 1976, because 1971 marked a major shift in the direction of the Program.

The remainder of this summary 1) provides a brief overview of the research methodology used; 2) summarizes a model describing the process of transforming library related innovations into basic library information services and the possible relationship among the various Federal library development and support programs in that process; 3) summarizes key study findings; and 4) presents recommendations to focus and strengthen these Programs. A more detailed presentation of information on each of these topics is contained in the Final Report.[1]

2: STUDY METHODOLOGY

The study utilized similar methodological approaches to evaluate each program. For the HEA II-B Library Research and Demonstration Program this included:

- Comprehensive review of the enabling legislation and the literature;
- Interviews with key Federal policymakers;
- A telephone survey of all directors of projects that received HEA II-B Library Research and Demonstration Program funds from 1971 to 1976. Of the 75 projects surveyed, 71 or 94.6 percent responded;
- A telephone survey of all persons who had served on the Program's Application Review Panel. Of the 47 persons identified, 45 or 95.7 percent responded;
- A telephone survey of 41 research and demonstration peers; and
- Case studies of 12 HEA II-B Library Research and Demonstration projects. Over a period of three days, key project staff, demonstration sites, and sponsoring organizations for each project were visited.

For the LSCA III Program, the methodological approach included:

- Comprehensive review of the enabling legislation and the literature;
- Interviews with key Federal policymakers;
- A mail survey of all 56 State Library Agencies to collect a comprehensive set of data on the management, operation and impact of LSCA III. All State Library Agencies responded;

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[1] A Study of Library Cooperatives, Networks, and Demonstration Projects; Volume I: Findings and Recommendations, Applied Management Sciences, March 31, 1978.

- A mail survey of all library cooperative and networking projects that received LSCA III funds in Fiscal Year 1976. Of the 112 projects surveyed, 109 or 97.3 percent responded; and
- Case studies of LSCA III in 10 States. Over a period of eight days, the State Library Agency, one LSCA III project, and an average of nine participating and eight nonparticipating libraries of all types (public, academic, school, and special) in each State were visited or called.

The survey data were tabulated and analyzed along with the case study data. They serve as the primary source of information used to prepare this report. These data are unique and represent the first systematic effort to study the two Programs.

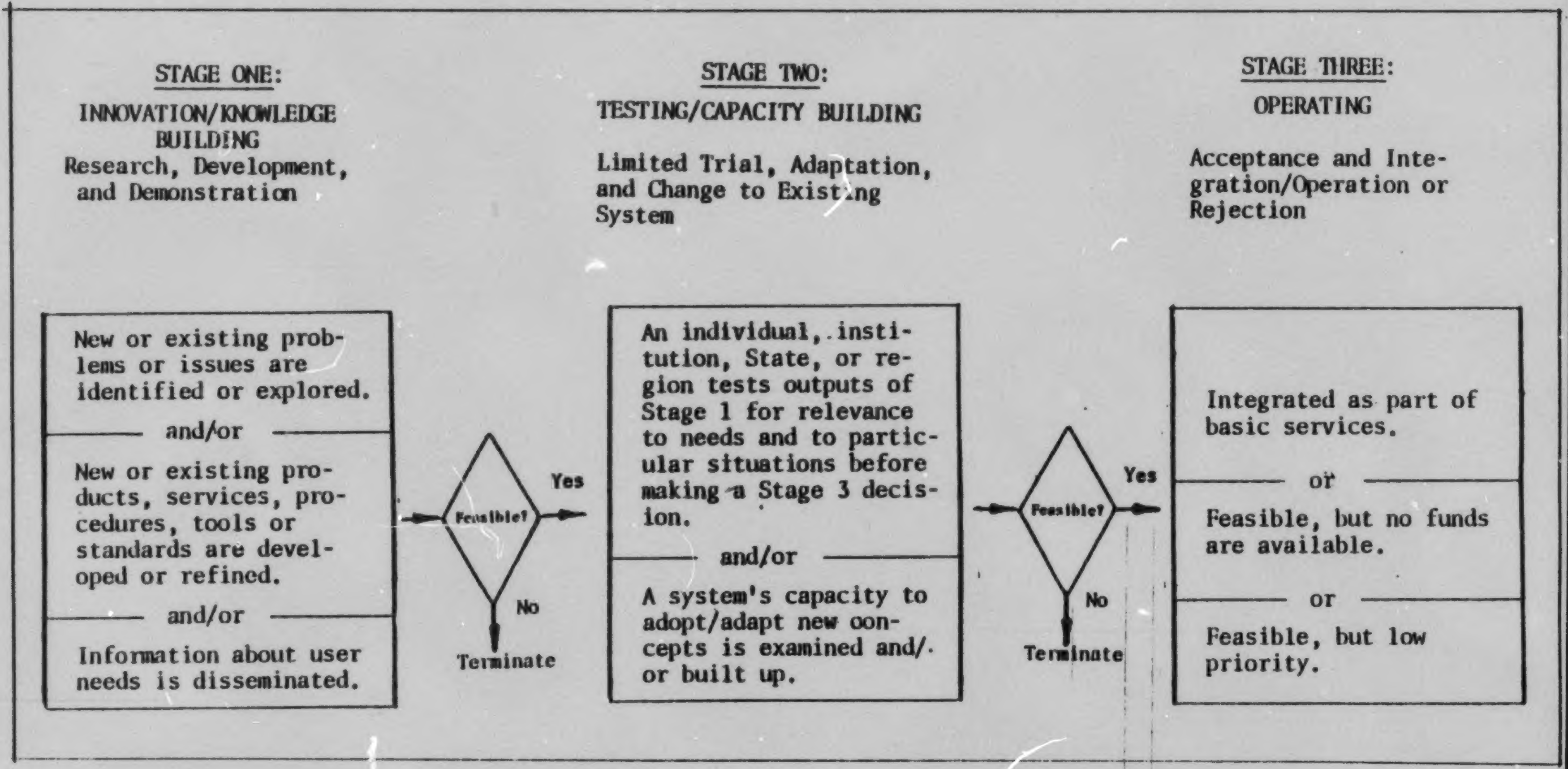
3: THE ROLE OF USOE IN THE DEVELOPMENT, TESTING, AND OPERATION OF LIBRARY AND INFORMATION SERVICES AND RESOURCES: A MODEL

A basic issue that affected this study and one that has very definite and critical implications for the future of the HEA II-B Library Research and Demonstration and LSCA III Programs, is the nature and scope of USOE's role in the development and provision of library and information services. Currently, USOE administers eight library programs affecting libraries of all types. Although these Programs are all administered by one office (the Office of Libraries and Learning Resources), they remain largely uncoordinated with one another and with programs managed by the Library of Congress, National Endowment for the Humanities, and similar agencies. There is a lack of focus to the two Programs evaluated in this study. Also, they have received very low priority in terms of their level of funding and administrative support. The model summarized here provides a possible approach to focusing the role of the two Programs, as well as the balance of USOE's efforts, without requiring an ongoing subsidy of the operation of library services.

The model, shown in Exhibit 1, consists of three stages representing the process by which innovations progress from their initial development to becoming an integral part of basic library services.

- Innovation/knowledge building: defined as conducting research, development, and demonstrations within some general framework having defined goals (Stage 1);
- Testing/capacity building: defined as limited, controlled testing by the potential user of the products of Stage 1. Capacity building is also defined as

EXHIBIT 1: CHANGE MODEL DESCRIBING THE STAGES OF INNOVATION, TESTING, AND OPERATING NEW LIBRARY AND INFORMATION SERVICES



STAGE ONE:

INNOVATION/KNOWLEDGE BUILDING

Research, Development, and Demonstration

New or existing problems or issues are identified or explored.

and/or

New or existing products, services, procedures, tools or standards are developed or refined.

and/or

Information about user needs is disseminated.

STAGE TWO:

TESTING/CAPACITY BUILDING

Limited Trial, Adaptation, and Change to Existing System

An individual, institution, State, or region tests outputs of Stage 1 for relevance to needs and to particular situations before making a Stage 3 decision.

and/or

A system's capacity to adopt/adapt new concepts is examined and/or built up.

STAGE THREE:

OPERATING

Acceptance and Integration/Operation or Rejection

Integrated as part of basic services.

or

Feasible, but no funds are available.

or

Feasible, but low priority.

determining whether or not the existing library service system has the capacity to integrate this new product,and, if not, identifying how the existing system or the product must be adapted (Stage 2); and

- Operating: defined as the decision to accept and integrate a new product for the services tested in Stage 2; and assume responsibility for providing for the costs of the new service or product (Stage 3).

The stages are not completely distinct; some overlap does, and should, occur. The model is dynamic and represents a process. To insure that this process occurs, a series of coordinating and managing activities based upon leadership and decision-making must be present. These activities are:

- Needs assessment: to determine if the need for a new service or product exists and the magnitude of that need;
- Development and coordination of resources: to meet the need;
- Dissemination of information about the new product or service;
- Training in the use of the new product or service; and
- Evaluation and feedback on the effectiveness, appropriateness, and cost effectiveness of the product or service.

The extent to which one or more of these activities is present at a given stage will vary. In Stage 1, for example, evaluation and feedback may not assume the importance of needs assessment or development of resources.

Currently, the HEA II-B Library Research and Demonstration Program falls within the definition of Stage 1, though this study has found that it has supported a number of Stage 2 type efforts that might have been more appropriately supported by other sources. The LSCA III Program currently supports efforts falling within Stage 2 and Stage 3. The results of this study suggest strongly that a disproportionate share of LSCA III funds are used in Stage 3 (operation), and that to increase the Program's effectiveness requires a shift to primarily Stage 2 activities (testing and capacity building).

Our analyses have led us to the conclusion that this model illustrates the stages and processes necessary for new, improved, and/or expanded library and information services. Future policy decisions affecting USOE library programs should be considered in light of this model. The purpose of the model is to illustrate an optimal relationship among the tasks, agencies, and sources of funds currently used in the changing of library and information services. To realize this model in resource and knowledge building in the library and information field as a whole, a commitment to a focused Federal role is required.

4: SUMMARY OF KEY FINDINGS ABOUT THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION AND LSCA III PROGRAMS

HEA II-B Library Research and Demonstration Program: Major Strengths and Shortcomings

Impact: The HEA II-B Library Research and Demontration Program has had a significant impact upon the library and information community merely by virtue of its existence. The Program has provided millions of dollars for innovative research and demonstration, where previously there were very few funds available. It is the only Federal Program that as part of its effort, supports a wide range of research to improve public library services. The Program has generated new knowledge about innovative approaches to networking, serving special target groups, utilizing community resources, and new technology. Several projects have been successful locally and a few have had national impact, such as the series of projects which contributed to the development and improvement of the Ohio College Library Center (OCLC).

Many products resulting from the Program have had potential for widespread application and utility in all types of libraries and information services. Almost 80 percent of the projects met or exceeded their Director's expectations for attaining objectives. Many projects had important local impact on the users of their services (either other library or information institutions or patrons of those services) during the demonstration period. About one-third of the projects were continued with other funds and progressed into more advanced stages of adaptation in the locality where the project was operated. Thirty-seven percent of the projects identified other projects which have utilized products developed under Program grants. Currently, the transfer of information from developer to potential users is based on the usefulness of the concept, the quality of the project's work, its applicability to the potential users, and the ability of the Project Director to promote the project (dissemination) and/or raise funds (continuation). Without direction and assistance (including funding for dissemination) by the Program, the distribution of projects which do transfer is best described as random because there is no linkage (dissemination) between the innovators and the agencies and institutions who are the potential users.

The impact of the Program has been diffused through several major shortcomings: lack of a cohesive national plan for the direction of the Program, lack of adequate dissemination at the national level, and lack of other aspects of a linkage system that would propel the findings of this Program into practical applications on a wide scale. The Program has not realized its full potential. In order to be more successful, the Program needs to be more focused, more adequately funded, and given greater control over the grants process.

Program Operations: One key finding about the Program is the extent of change which the projects underwent during their operations. Objectives were changed by 23 percent of the projects, and almost all the projects made other types of changes--in methodology, schedules, staff, etc.--during the course of their work. This flexibility was important because it permitted projects to adjust to the unpredictable events which occurred during implementation. However, it was also found that continual changes were detrimental to projects. Some projects which were constantly changing were poorly designed.

In general, technical assistance provided by USOE was considered good, prompt, and relevant, but limited because of the lack of staff and support for Program staff to make site visits. The respondents expressed a desire for increased Program staff participation in dissemination and evaluation activities, particularly evaluations aimed at determining whether multi-year projects should be continued for their additional years. Technical assistance at the time of proposal preparation and submission was also highly desired by respondents. Changes such as these would require major adjustments in funding and USOE grants-management policy that governs the Program. Currently, the Program does not have sufficient latitude in the selection and management of grants.

Overall, the former proposal selection process, which gave Program staff discretion in the awarding of grants, was considered to be fair. Recent changes in USOE regulations governing the award of grants, now place the responsibility for decisions almost completely on the reviewers scores. This process mav be less fair than might have been intended -- in effect, different sets of proposals are rated by different views of the criteria depending on the reviewers' biases and perceptions of the standard criteria. Topics of proposals cannot now be compared and projects are not selected according to any priority for areas.

Summary of reactions to HEA II-B Library Research and Demonstration Program policy and funding: Among Project Directors and other respondents there was a trend towards favoring research over demonstration, and favoring outreach activities as opposed to traditional library services, but the current practice of funding a variety of research and demonstration activities received support from the respondents. Almost all respondents favored increasing the Program's funds (currently $1 million per year) substantially; the median funding level suggested was approximately $4 million per year.

The respondents overwhelmingly asked for a reinstatement of an Advisory Committee for USOE in the area of library and information services. It was felt that an Advisory Committee could provide USOE with needed assistance and help determine clear priorities and objectives for the Program. Involvement of State Library Agencies in an advisory capacity was also recommended. One potential benefit accruing from involvement of the State Library Agencies is that they are an important source, though not the sole one, of funds which can be used to replicate the results of the Program's efforts. This need for advisory support expressed by the respondents stems from lack of involvement of the profession in Program planning and policymaking, and only limited involvement as readers of proposals.

LSCA III: Major Strengths and Weaknesses

Impact: LSCA III has impacted the development and expansion of library cooperation in a number of ways. LSCA III is a major driving force behind the development of multitype library cooperation and networking, primarily at the State level. Along with LSCA I, use of LSCA III has resulted in greater centralization of planning and administration of library services at the State and regional levels. LSCA III was credited as a major influence on State legislatures to modify or pass into law legislation favoring cooperation and networking. Activities and services to increase access to library resources and to provide librarians with needed continuing education were listed as the major outcomes of the cooperative and networking projects.

. The State Library Agencies credited LSCA III with providing the impetus for participation in intrastate and multistate cooperatives/ networks, and for increased use of telecommunications. More than 76 percent of the States actively participated in intrastate and multistate library networks in 1976. Over 62 percent of the States were able to install or upgrade telecommunications linkages among public, academic, and special libraries. LSCA III was not the only source of support for multitype library cooperation and networking, however. During Fiscal Year 1976 large amounts of LSCA I, State, and local funds were used to support multitype library cooperation and networking. Specifically, during that period, the States reported spending an estimated $39.81 million1/ on cooperative and networking projects. Of that total, $11.76 million and $2.752/ million were provided by LSCA I and LSCA III, respectively. The remaining $25.30 million was provided by State and local governments and other miscellaneous sources.

Although LSCA III has had a definite, positive impact on the development of multitype library cooperation and networking, several shortcomings and anomalies were identified. Some of these will require Federal attention and others must be addressed at the State or local level.

1/ This estimate does not include cooperative and networking activities which did not receive funds from State Library Agencies (e.g., computerized library networks).

2/ The difference between this figure and the $2.59 million appropriated is accounted for by the fact that 1) the States were allowed to carry over funds from one Fiscal Year to the next, and 2) by the absence of two projects from the sample.

First, significant amounts of LSCA I funds (approximately 20 percent of the Fiscal Year 1976 appropriation) were used by the States to partially or completely support multitype library cooperation and networking activities. It is not known if this may be detrimental to the mandate of LSCA I (development and support of State efforts to expand and extend public library services to the unserved and underserved), or if this is an effective means of supporting these types of projects. A more complete understanding of these issues is definitely needed, and because of the sizable amount of dollars involved, is probably worthy of its own study.

Second, LSCA III was providing support for projects that had become integrated into the States' basic programs of library services. This finding should not be interpreted as indicating that the States are misusing LSCA III funds. The legislation clearly specifies that use of LSCA III for the operation of cooperatives and networks is allowed. However, given the modest funding level of LSCA III and the level of use of LSCA I and State funds, a shift in emphasis is called for. Slightly more than 85 percent of the projects receiving LSCA III funds were ongoing projects, scheduled to continue operations for an indefinite period of time. Only 14 percent of the LSCA III supported projects were short-term, trial projects. This suggests that LSCA III funds are being targeted more at Stage 3 operational activities than at the riskier Stage 2 activities; and this in turn means that a vital phase in the library innovation and change model is being seriously weakened.

Further, many of the projects funded by LSCA III were restricted in the range of cooperative and networking services they supported. The interlibrary loan and reference and referral services provided were, no doubt, efficient and a proper means of gaining access to a wide variety of libraries. However, there was some question as to how many patrons actually needed and used such services; and there were a number of other essential library support services, such as document access and sharing, warehousing and shared storage of low use materials, which were not being provided. The question that must be raised is how more LSCA III funds can be directed towards exploring new forms of cooperation and networking which will further increase the efficiency and economy of library services, as well as increase access to library resources?

LSCA III Program Operations: A number of strengths and shortcomings in the operation of the Program at the Federal and State levels have been identified and have implications for the future of the Program. Because of its low priority, the Program has not had adequate resources to monitor State-level cooperative and networking activities or to provide adequate technical assistance. Yet these management activities appear to be well received at the State level and are viewed as being valuable. A number of problems have resulted: dissemination of information about networking and cooperation is very superficial; there are no systematic efforts to share information among the States (e.g., preparation of an annual national report); and management at the Federal level has not adequately used data from annual reports on LSCA III supported cooperation and networking efforts at the State level to either strengthen the Program, or to assist projects to advance from Stage 2 to Stage 3 status. The States also saw a need for more detailed guidelines and standards and for increased assistance to upgrade needs assessments and program evaluation activities.

Management practices at the State level require additional attention. Many librarians felt excluded from the decisionmaking that affects the development of library cooperation. Needs assessments and evaluations were informally conducted by many States, but the States had not made consistent efforts to collect and maintain data on the status and impact of their cooperative and networking projects. These activities are particularly vital in the future if LSCA III is to take on a more defined role in the area of testing the feasibility of new forms of cooperative and networking services. It would be appropriate for USOE to assume a leadership role in these areas.

Summary of reactions to LSCA III policy and funding: The States were not satisfied with the priority LSCA III receives at the Federal level, nor were they satisfied with the low level of funding currently provided to each State. They also noted that the LSCA III Program has not attempted to involve the library community in determining USOE policies affecting multitype library cooperation and networking activities. Recently, the only policy expressed by USOE has been that LSCA III should be funded at minimal levels or not be funded, yet this policy does not have the endorsement of the States, National Commission on Libraries and Information Science (NCLIS), or professional librarians. If Federal involvement in the development of library resources and services is to continue, then careful consideration needs to be given to increasing USOE's linkage to the library community and other Federal agencies involved in library cooperation.

The States were overwhelmingly opposed to being required to match or supplement the Federal grant, but they favored a threefold increase in the basic State allotment of LSCA III funds. If there were an increase in funds, the States would continue to use the funds to supplement the funding of existing ongoing projects. There was a willingness, however, even with the present low level of funding, to integrate more innovative approaches (computerization of bibliographic data bases and integrating computerized information data bases into existing networking efforts). It is likely that the testing of innovation would be far more prevalent if USOE were to take a leadership role and provide more direction to library development activities.

In the States, library cooperation and networking were accepted modes of improving library services and achieving increased efficiency and economies. The States generally agreed that the development and improvement of library services was dependent on USOE doing the following: 1) increasing current funding levels earmarked for multitype library cooperation and networking (a median annual figure of $10 million was suggested; 2) making provisions for multi-year funding; and 3) assuming a leadership role along with NCLIS and the Library of Congress in the development of standards and guidelines, and in the development of a national plan for library services (e.g., a national network).

5: RECOMMENDATIONS FOR FUTURE USOE POLICY ON LIBRARY COOPERATION, NETWORKING, AND RESEARCH AND DEMONSTRATION

The recommendations address four areas which underly the key needs of the HEA II-B Library Research and Demonstration and LSCA III Programs.

- The need to define and focus the role of the two Programs in the overall process of developing library resources and services and transferring those developments from the innovation stage to becoming part of the basic library and information services.
- The need to provide linkages between a) the different stages of this change process, and b) the variety of agencies, individuals, and organizations who are involved in this process.
- The need to substantially upgrade Federal and State management of these Programs and to redefine USOE management responsibilities.
- The need for USOE to reconsider the role it plays in the development process as a major funder of library and information services development activities.

Implementation of these recommendations is, in large measure, dependent upon careful reconsideration of current USOE policy. If the recommendations are implemented, the two Programs will be greatly improved, and USOE's role will be considerably more influential; and the nature of USOE support will be considerably more cost-effective.

Focusing the HEA II-B Library Research and Demonstration and LSCA III Program

The HEA II-B Library Research and Demonstration Program and the LSCA III Program have had positive impacts, but there is no explicit rationale or structure underlying the types of projects that are supported by either Program. Consequently, the impact of the Programs has not been as great as might otherwise have been expected. One reason for this is the absence of a sharply defined focus for either Program. The second reason is that both Programs have extremely limited resources to support Program operations. The improvement of library and information delivery systems is dependent on the quality and effectiveness of these, and other USOE Programs. The following recommendations will permit the Programs to concentrate their support on the aspects of the change process which appear to be the most critical at this point in time.

RECOMMENDATION 1: **HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM FUNDS SHOULD BE USED TO SUPPORT THE DEVELOPMENT OF NEW AND INNOVATIVE LIBRARY AND INFORMATION SERVICES AND NEW OR IMPROVED MECHANISMS TO DELIVER SERVICES TO USERS. THERE SHOULD BE INCREASED FOCUS ON DEVELOPMENTAL/EXPERIMENTAL RESEARCH AND A CORRESPONDING DECREASE ON FUNDING PROJECTS THAT TEST THE FEASIBILITY OF LONG-RANGE IMPLEMENTATION.**

Justification

A. HEA II-B Library Research and Demonstration Program funds are limited and feasibility testing for long-range implementation tends to drain funds from experimental/developmental efforts.

B. The support of demonstration projects to test the feasibility of adopting a new service is better left to programs such as LSCA I and III, where there is far more State/local discretion in how the funds are allocated. Recent research sponsored by the National Institute of Education suggests that there is far more chance of an innovation being adopted if the adoption/adaptation process is controlled by the eventual users of the system.

C. Although USOE has been increasing the funding of demonstrations compared to research under this Program, survey respondents favored a Program emphasis on research-type activities.

To implement the recommended focus, the HEA II-B Program should take the steps outlined below.

RECOMMENDATION 1A: **THE CURRENT FUNDING LEVEL OF THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM SHOULD BE INCREASED FROM $1 MILLION TO $3 MILLION PER YEAR THROUGH FISCAL YEAR 1985. THE PROGRAM SHOULD RECEIVE FORWARD FUNDING.**

Justification

A. Current funds restrict the number, size, and length of grants severely. Only about 15 percent of the submitted applications are funded, and the major complaint emanating from the field was over the limited funds that are available. Given the potential payoff of these research efforts vis a vis their potential affect on improving library and information services, the present funding level is too restrictive and does not reflect the potential payoffs of these projects.

B. The median recommendation of survey respondents was approximately $4 million. While this is higher than the recommended amount, it was felt that there was some positive bias in the responses, and that $3 million is more than adequate to fund those projects of highest quality, without excess spending.

C. Less than 5 percent of respondents recommended decreasing funds; less than 20 percent recommended leaving funding amounts at current levels.

D. The Program is the only one of its kind at the Federal, State, or local level. No other agency or combination of agencies has been able to demonstrate the capacity to support such a wide range of library and information research and demonstrations.

RECOMMENDATION 1B: A FIVE-YEAR RESEARCH PLAN FOR THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM SHOULD BE DEVELOPED WHICH WOULD ESTABLISH ANNUAL GOALS AND PRIORITIES WHICH WOULD BE USED TO STRUCTURE THE ANNUAL GRANTS COMPETITION. THIS SHOULD BE DONE IN CONSULTATION WITH MEMBERS OF THE LIBRARY AND INFORMATION SCIENCES COMMUNITY AND THE OTHER FEDERAL AGENCIES SUCH AS THE NATIONAL COMMISSION ON LIBRARY AND INFORMATION SCIENCE.

Justification

A. Given the limited dollars which will be available, even if the recommendation on increased funding is implemented, a detailed plan for encouraging research into predetermined areas will be necessary if significant innovations and improvements are to be effected in the operation of the Nation's libraries.

B. Many respondents indicated strongly that USOE should develop long-range plans, set priorities and where possible tailor the decisionmaking process to those priorities.

C. There was also a strong feeling that the professional community and other Federal agencies could participate more effectively than past procedures have allowed and could provide valuable input to this decision process. In addition, there is a greater chance that innovations will be adopted or adapted if the system's stakeholders participate in decisionmaking and setting of priorities.

D. The Program provides discretionary grants, and effective management is possible only if the Program staff has greater control over the direction of the Program.

RECOMMENDATION 1C: THE LONG-RANGE PLAN DEVELOPED FOR THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM SHOULD BE REVIEWED ANNUALLY BY THE OFFICE OF LIBRARIES AND LEARNING RESOURCES ALONG WITH THE SELECTED REPRESENTATIVES FROM THE LIBRARY AND INFORMATION COMMUNITY, AND REPRESENTATIVES OF OTHER FEDERAL AGENCIES IN ORDER TO DETERMINE:

1) WHETHER THE LONG-RANGE, AND ANNUAL GOALS ARE BEING MET;

2) WHETHER ANY CHANGES IN THE PLAN WOULD INCREASE THE PROGRAM'S EFFECTIVENESS; AND

3) WHETHER ANY ADVANCES IN THE STATE-OF-THE-ART OR CHANGES IN ADMINISTRATIVE AND/OR FUNDING POLICIES HAVE OCCURRED WHICH SHOULD BE REFLECTED IN THE LONG-RANGE PLAN.

Justification

A. Program self-monitoring would increase its effectiveness by allowing it to remain relevant and address specific successes and failures as they occur.

B. The Program needs to maintain flexibility in order to keep pace with rapidly changing technology and concepts.

RECOMMENDATION 1D: THERE SHOULD BE AN INCREASED EMPHASIS ON CONTRACT RESEARCH TO MEET ANNUAL AND LONG-RANGE GOALS OF THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM. THE CONTRACT PROCESS ALLOWS THE FUNDING, AND TIGHTER CONTROL, OF PROJECTS DEEMED BY THE PROGRAM STAFF TO BE OF CRITICAL IMPORTANCE. THE PROGRAM SHOULD SET ASIDE UP TO 30 PERCENT OF ITS ANNUAL APPROPRIATION FOR THE DEVELOPMENT AND FUNDING OF RFPs.

Justification

A. The RFP process would allow the Program to stipulate in considerable detail research products it requires in order to meet its goals.

B. The grant process results in a minimum amount of control over the grantee once applications are funded. The end-product of a grant may, legally, be quite dissimilar to that which had been proposed. By contrast, contracts can be closely controlled by the Program, and end-products would change only with the permission of the Program staff.

C. The grant process, by its very flexibility, allows for a greater degree of freedom and creativity by the grantee. The 30 percent limit for contracts will allow adequate room for control (under recommended funding increases, the contracts would amount to about $1 million -- the size of the Program currently), but also adequate room for creativity and experimentation.

RECOMMENDATION 1E: THE USE OF MULTI-YEAR GRANTS AND CONTRACTS SHOULD BE ENCOURAGED, WITH PROJECTS BEING FUNDED FOR UP TO THREE YEARS, CONDITIONAL UPON SATISFACTORY PERFORMANCE AS DETERMINED BY HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM ANNUAL REVIEW. IMPLEMENTATION OF THIS RECOMMENDATION SHOULD BE DEPENDENT UPON AN INCREASE IN FUNDING FOR THE PROGRAM.

Justification

A. The present requirement that new proposals be submitted each year for projects already funded by the HEA II-B Library Research and Demonstration Program is time consuming and expensive for both the projects and the USOE. It also contributes to turnover of key researchers and project directors since their present positions cannot be assured for more than a year at a time.

B. The present one-year-at-a-time concept prevents long-range planning for use of funds by the Program and project staffs. Often projects are severely hampered by their inability to make commitments for resources in advance (such as creating a liaison with a potential test site).

C. Evaluation by USOE to determine the progress, value, and success potential of a project before continuing funds will serve two purposes: 1) allow USOE to terminate unsuccessful projects, and 2) provide incentives for projects to meet their goals in a timely manner.

D. There was strong support for this concept among the respondents.

E. Multi-year grants would permit the Program to sponsor longitudinal study which in turn would provide sound measures of the long term impact and effect of existing and new services.

RECOMMENDATION 2: USOE SHOULD STRONGLY ENCOURAGE THE STATES TO USE LSCA III FUNDS TO SUPPORT THE LIMITED TRIAL OF NEW OR EXPANDED MULTI-TYPE LIBRARY COOPERATION AND NETWORKING SERVICES; TO EXTEND NETWORKING AND COOPERATION INTO LIBRARY SERVICE AREAS WHICH ARE NOT PRESENTLY BENEFITTING FROM THESE STRATEGIES; AND TO IMPROVE THE STATES' CAPACITY TO INTEGRATE THESE NEW CHANGES INTO THEIR BASIC SERVICES. THERE SHOULD BE DECREASED EMPHASIS ON USING LSCA III FUNDS TO SUPPORT THE OPERATION OF ESTABLISHED NETWORKS AND COOPERATIVES INCLUDING THOSE BEGUN WITH LSCA III FUNDS.

Justification

A. Eighty-five percent of all library cooperatives and networking projects receiving LSCA III funds in Fiscal Year 1976 were ongoing projects which had been integrated into the State Program of basic library services.

B. The results of this study show that the combined total of LSCA I, State, and local funds expended to support library cooperation and networking is approximately ten times greater than the total LSCA III funds expended by the States.

C. Services provided by the present set of LSCA III projects are limited to a fairly narrow range of activities, primarily information resource assess sharing. These activities reach a comparatively narrow group of users.

D. This shift in focus will insure that the Federal share of support for library services is used most effectively, since it will be aimed at promoting the trial of new innovations, rather than supporting ongoing operations.

To implement this sharpened focus for LSCA III, USOE should take the following steps:

RECOMMENDATION 2A: THE CURRENT FUNDING OF LSCA III SHOULD BE INCREASED FROM $3.37 MILLION TO $10 MILLION PER YEAR THROUGH FISCAL YEAR 1985. FORWARD FUNDING SHOULD BE SOUGHT TO ALLOW FOR LONG-RANGE PLANNING AT THE STATE LEVEL.

Justification

A. The Program is underfunded. The average amount of LSCA III funds received by each State through this Program is less than $50,000 per year.

B. The States are reluctant to explore new cooperative services because there is no assurance that a primary source of discretionary funds, LSCA, will be available during the next funding year.

C. Disproportionate amounts of LSCA I funds are being used by the States to support their cooperation and networking efforts. An increase in the LSCA III grant should permit the States to redivert LSCA I funds to meet critical service needs. Implementation of the recommendation should not be accomplished by reducing the current funding level of LSCA I as this might have adverse affects upon existing public library service programs in the States.

RECOMMENDATION 2B: UP TO 10 PERCENT OF ITS ANNUAL LSCA III APPROPRIATION SHOULD BE SET ASIDE TO BE USED ON A DISCRETIONARY BASIS AT THE FEDERAL LEVEL.

Justification

A. The Program has been unable to provide needed technical assistance to upgrade State capabilities to integrate library networking into their constituents' basic library services.

B. The States are looking to USOE to provide guidelines and standards for library cooperation and networking, with the eventual goal of establishing a national network. Without discretionary funds, this expectation cannot be met.

C. Many forms of library cooperation and networking require that States join together. The individual States are reluctant to fund these activities unless the benefits of multistate networks and other joint cooperative ventures are demonstrated. Funds controlled at the Federal level may be required for this to occur.

D. If the LSCA III Program is to shift its role away from support of ongoing networks and cooperatives to support of the testing of new approaches, and augmenting the States capacity to integrate these new approaches, greater Federal control of funds will be necessary.

RECOMMENDATION 2C: THE LSCA III PROGRAM SHOULD WORK COOPERATIVELY WITH THE STATE LIBRARY AGENCIES TO DEVELOP INDIVIDUAL (STATE) STRATEGIES WHICH WOULD DEFINE THE MANNER, AND PERIOD OF TIME, IN WHICH THE LSCA III FUNDS WOULD BE MORE SHARPLY DIRECTED TOWARDS LIMITED TRIAL OF NEW AND IMPROVED NETWORKING AND COOPERATIVE SERVICES, AND CAPACITY BUILDING ACTIVITIES.

Justification

A. Knowledge of, and experience with, library networking and cooperation varies greatly from State to State.

B. Numerous States are reluctant to accept the importance of library cooperation and networking and prefer to allocate funds to established programs.

C. The level of planning at the State level for library cooperation and networking varies greatly in its sophistication. The States need assistance in linking cooperation and networking to long-range plans for library development.

RECOMMENDATION 2D: USOE SHOULD MODIFY THE CURRENT LSCA III REGULATIONS PERTAINING TO USOE REVIEW OF STATE LONG-RANGE AND ANNUAL PLANS TO REFLECT THE SUGGESTED SHARPENED FOCUS OF THE PROGRAM.

Justification

A. The current regulations allow a wide range of use for LSCA III funds. If the Program is to focus on assisting States to test (and implement) new forms of cooperation and networking, the regulations will have to be modified to reflect this shift in USOE policy.

Linkages for the HEA II-B Library Research and Demonstration and LSCA III Programs

The results of these Programs have not been satisfactorily disseminated to the library and information community. Most projects lack the technical and financial resources to carry on effective dissemination alone; there is insufficient support at the national level; and there is little formal or informal coordination between the Programs which facilitate the achievement of common goals. Once the USOE role for these Programs is more sharply defined, vehicles will be necessary for assisting in moving Program products and results from the innovation stage to the trial stage, and finally to the operation stage. The following recommendations will lead to the development of these linkages.

RECOMMENDATION 3: THE PRIMARY MISSION OF THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION AND LSCA III PROGRAM STAFFS SHOULD BE SHIFTED FROM ITS PRESENT EMPHASIS ON THE DISTRIBUTION AND MONITORING OF THE USE OF FUNDS, TO INCORPORATE ON AN EQUAL BASIS, DISSEMINATION ACTIVITIES AIMED AT PROVIDING LINKAGES BETWEEN:

- DEVELOPMENTAL/EXPERIMENTAL RESEARCH IN THE LIBRARY AND INFORMATION SCIENCES;
- LIMITED TRIAL, NEW SERVICE AREA, AND CAPACITY BUILDING ACTIVITIES; AND
- FULL-SCALE INTEGRATION AND OPERATION OF NEW PRODUCTS AND SERVICES AS PART OF BASIC LIBRARY SERVICES.

Justification

A. As the major funder of activities in the first two stages listed above, USOE is in the ideal position to be the broker which brings together those who develop new knowledge and those who need it. Survey respondents in both studies looked to USOE to play this role.

B. USOE has a national orientation, yet is concerned through its Programs with State and local efforts. Thus, it can transcend local boundaries and can provide a wider perspective on the relationships of projects in differing developmental stages to one another. It is also in a far better position to identify potential users from a national perspective than are local or State agencies.

To implement these new responsibilities, USOE should take the steps outlined below.

RECOMMENDATION 3A: ADDITIONAL STAFF NEEDS TO BE ASSIGNED TO THESE PROGRAMS TO SERVE AS "INFORMATION BROKERS" WITH THE RESPONSIBILITIES OF SEEKING OUT POTENTIAL AGENCIES, INSTITUTIONS, AND/OR RESEARCHERS WHO MIGHT BENEFIT BY USING ONGOING, OR COMPLETED RESEARCH PROJECTS.

Justification

A. Survey respondents repeatedly suggested that USOE accept this responsibility.

B. Current staffing levels are not adequate to perform this function.

C. Insofar as no organization is primarily providing this service, much of the value of the funded research is being wasted and dissipated through lack of adequate dissemination.

RECOMMENDATION 3B: SUFFICIENT SUPPORT FUNDS NEED TO BE PROVIDED FOR SUCH ITEMS AS STAFF TRAINING, TRAVEL, PRINTING, ETC., TO ENABLE THIS CHANGE AGENT FUNCTION TO BE CONDUCTED EFFECTIVELY.

Justification

A. Without adequate support funds, personnel assigned to these responsibilities would be unable to implement the change agent function.

RECOMMENDATION 3C: THE DEVELOPMENT OF INFORMATION PACKAGES ABOUT ONGOING AND COMPLETED PROJECTS IS ESSENTIAL. THESE PACKAGES SHOULD PROVIDE UPDATED INFORMATION TO POTENTIAL USERS AS THE PROJECTS PROGRESS.

Justification

A. Currently, there is no uniform means of disseminating information on projects already completed, except on the *ad hoc* basis by former staff and by including project documentation in ERIC. Neither of these methods have proven to be effective.

B. By re-evaluating and reviewing previous outcomes, linkages can be developed between related projects so that potential users can take advantage of the sum-total of what has been learned.

RECOMMENDATION 3D: STANDARDS OR GUIDELINES AND FUNDING FOR DISSEMINATION ACTIVITIES ARE NEEDED AT THE INDIVIDUAL PROJECT LEVEL. THIS SHOULD BE ESTABLISHED BY THE PROGRAMS AS PART OF THE PROCUREMENT PROCESS.

Justification

A. Many Project Directors reported not knowing how to conduct effective dissemination activities, and not knowing what their responsibilities were in this area.

B. Projects are often conducted without adequate time or funds for dissemination activities.

C. A standardized but flexible system would provide for increased continuity and communication between researchers and research activities.

RECOMMENDATION 3E: INCREASED TECHNICAL ASSISTANCE BY USOE STAFF AND/OR OUTSIDE SPECIALISTS IS NEEDED BY THE PROJECTS TO ASSIST THEM IN CARRYING OUT THE DISSEMINATION RESPONSIBILITIES ALREADY REQUIRED FOR GRANTEES.

Justification

A. Respondents often requested such assistance.

B. Respondents felt that such assistance is not currently adequate.

RECOMMENDATION 4: THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION AND LSCA III PROGRAMS NEED TO DEVELOP FORMAL MECHANISMS FOR COORDINATING THEIR PLANNING, FUNDING, AND DISSEMINATION ACTIVITIES WITH OTHER USOE LIBRARY PROGRAMS, LIBRARY PROGRAMS OF OTHER FEDERAL AGENCIES, AND MEMBERS OF THE LIBRARY COMMUNITY. WHERE POSSIBLE THESE FORMAL LINKAGES SHOULD INCLUDE AGREEMENTS INVOLVING COOPERATIVE PLANNING AND JOINT FUNDING OF PROJECTS, AND GREATER USE OF EXISTING ADVISORY BODIES AND INDIVIDUALS.

Justification

A. These programs sponsor a number of activities which overlap. Products developed by the HEA II-B Library Research and Demonstration Program are highly applicable to LSCA III, LSCA I, and HEA II-B Training Component, and those aspects of ESEA Title IV-B that provide support to the States for school library resources, yet there are few indications that transference has occurred.

B. The two Programs evaluated in this report and other library programs administered by USOE can and should increase coordination efforts. The HEA II-B Library Research and Demonstration Program is clearly a Stage 1 activity -- innovation and development of library services and resources, applicable to the needs of school, special, public, and academic libraries. The LSCA III Program should be primarily engaged in supporting States' efforts to test the feasibility of adopting innovations developed in Stage 1. Aspects of research supported by the HEA II-B Library Research and Demonstration Program can be tested for adoption/adaption to the States using LSCA I and III funds. By linking these and the other USOE library programs together where feasible, and by extending those linkages to other agencies and organizations, USOE will be in an excellent position to formulate a cohesive, effective library policy.

C. Formal linkages, perhaps in the form of interagency agreements, would enable the Federal agencies to 1) address high priority research and service needs without duplication of effort; 2) develop natural avenues for dissemination; 3) maintain contact with other leaders in research and development; and 4) increase their capacity to address the needs of a national library network.

Management of the HEA II-B Library Research and Demonstration and LSCA III Programs

The success of a focused and enhanced USOE role in library resource development will depend largely upon increasing the effectiveness of Program management. In the past, lack of staff, backup resources, and formalized procedures have severely hampered planning, decisionmaking, and Program self-assessment. If the Programs are to focus their efforts more sharply and have the impact that is expected of them, it will be necessary to upgrade these management capabilities substantially.

RECOMMENDATION 5: THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION AND LSCA III PROGRAMS NEED TO INITIATE A SERIES OF ACTIVITIES AIMED AT:

- DEFINING THE TYPES OF USABLE INFORMATION AND DATA NEEDED TO MONITOR PROGRAM OPERATIONS AT THE NATIONAL LEVEL, AND TO PROVIDE CONGRESS AND THE LIBRARY AND INFORMATION SCIENCE COMMUNITY WITH CURRENT INFORMATION ON THE STATUS, NEEDS, AND ACTIVITIES OF THE PROGRAMS. THIS COULD BE ACCOMPLISHED MOST EFFECTIVELY THROUGH THE PREPARATION OF AN ANNUAL NATIONAL REPORT;
- REVISING THEIR DATA COLLECTION REQUIREMENTS TO REFLECT THE RESULTS OF THE ABOVE ACTIVITY; AND
- DEVELOPING INFORMATION RETRIEVAL AND DATA ANALYSIS CAPABILITIES, PERHAPS IN CONJUNCTION WITH NCES, WHICH WILL PERMIT THE PROGRAMS TO PROVIDE THE NEEDED DATA IN A TIMELY MANNER AND IN THE MOST USABLE FORM.

Justification

A. The HEA II-B Library Research and Demonstration Program is unable to monitor the progress of projects and the Program on a year-to-year basis because of a lack of usable data. Review at multi-year projects is also inadequate.

B. Data collected by the LSCA III Program in the form of Annual Reports by the States is used minimally at the Federal level. It is not summarized and disseminated to the States. Nor do the data that USOE currently collects accurately reflect the content, scope, cost, or impact of projects and programs currently using LSCA III funds.

C. Prior to this report, neither Program had been able to document its impact and use the results to support annual funding requests.

RECOMMENDATION 6: THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION AND LSCA III PROGRAMS MUST UPGRADE THE LEVEL AND EXTENT OF PROJECT MONITORING AND TECHNICAL ASSISTANCE THEY CURRENTLY PROVIDE TO PROJECTS AND STATE LIBRARY AGENCIES. THIS WILL REQUIRE THAT ADDITIONAL STAFF BE ASSIGNED TO THESE PROGRAMS AND THAT THESE STAFF BE ABLE TO DRAW UPON THE NECESSARY RESOURCES TO EFFECTIVELY CONDUCT THEIR ACTIVITIES. EXISTING STAFF MUST BE GIVEN THE OPPORTUNITY TO UPGRADE THEIR SKILLS IN THESE AREAS. THE GOAL FOR THESE PROGRAMS SHOULD BE TO BE ABLE TO VISIT EVERY PROJECT OF A GIVEN MINIMUM SIZE ONCE A YEAR; AND MAKE ADDITIONAL VISITS TO PROJECTS, STATE LIBRARY AGENCIES, AND IMPORTANT CONFERENCES ON AN AS-NEEDED BASIS.

Justification

A. The HEA II-B Library Research and Demonstration Program has been unable to exercise the desired levels of control over the projects it funds, and this has undoubtedly contributed to projects failing to fulfill their objectives, to provide timely reports, and to meet other reporting and performance expectations.

B. The projects and State Library Agencies have repeatedly requested that USOE increase the depth and quantity of technical assistance they receive. Currently the Programs are able to provide only minimal monitoring of projects.

C. If funding levels for these Programs are increased as suggested, current staffing levels will be totally inadequate, and the desired focus of the Federal role will not be possible.

RECOMMENDATION 7: THE STATE LIBRARY AGENCIES NEED TO BE PROVIDED WITH SUBSTANTIAL AMOUNTS OF TECHNICAL ASSISTANCE AND TRAINING IN ORDER TO UPGRADE THE QUALITY AND FREQUENCY OF FORMAL NEEDS ASSESSMENT AND PROJECT EVALUATION ACTIVITIES RELATING TO LSCA III PROJECTS. THIS WILL REQUIRE DISCRETIONARY FUNDS AND/OR ADDITIONAL PERSONNEL AT THE FEDERAL LEVEL WHO CAN PROVIDE THIS ASSISTANCE TO THE STATES AND TAKE A LEADERSHIP ROLE IN THE DEVELOPMENT OF UNIFORM STANDARDS AND GUIDELINES FOR NEEDS ASSESSMENT AND PROJECT EVALUATION ACTIVITIES CONDUCTED BY THE STATES AND THEIR COOPERATIVE AND NETWORKING PROJECTS.

Justification

A. Although the State Library Agencies do conduct needs assessment and evaluations, they rely upon informal methods and do not find those methods to be highly useful for policymaking.

B. The State Library Agencies are responsible for evaluating cooperative and networking projects receiving LSCA III funds, yet the primary method of evaluation used is analysis of cost and usage data; only 25 percent of these projects used formal evaluation methods that are more likely to provide them (or USOE) with policy relevant information.

C. The State Library Agencies are interested and willing to incorporate more sophisticated methods of needs analysis and evaluation into their activities, but may often lack the skills and in some cases the funds to accomplish this.

RECOMMENDATION 8: THE STATE LIBRARY AGENCIES SHOULD BE ENCOURAGED TO INCLUDE IN POLICYMAKING, PERSONS ACTIVELY INVOLVED IN AND KNOWLEDGEABLE ABOUT LIBRARY NETWORKING AND COOPERATION, AND PERSONS WHO REPRESENT POTENTIAL PARTICIPANTS IN THESE ACTIVITIES.

Justification

A. Librarians are underrepresented in policymaking at the State level. Less than 50 percent of the States report that librarians participate in objective setting affecting library cooperation and networking.

B. If, as we have recommended, use of LSCA III is shifted away from supporting existing multitype library cooperatives and networks to focus on the testing of new approaches, the State Library Agencies will need to a) draw upon and use the expertise available to them and b) involve the potential users and stakeholders in decisions regarding changes that affect library operations at the local library level.

Changes in USOE Policy Affecting Library Resource Programs

USOE currently provides slightly more than 50 percent of the total Federal outlay of funds to support library services. Within the last four years, USOE has attempted to reduce its role in supporting public and academic library and information services. The results of this study indicate strongly that USOE does, in fact, play a crucial role in the support of library and information service development. However, there has been an absence of focus and direction in the Programs, and as a result they have not had the impact they were expected to have.

RECOMMENDATION 9: THE MOST EFFECTIVE ROLE FOR USOE ADMINISTERED LIBRARY AND INFORMATION SERVICE DEVELOPMENT PROGRAMS IS THAT OF SUPPORTING THE DEVELOPMENT OF NEW AND IMPROVED LIBRARY AND INFORMATION SERVICES, TECHNOLOGY, AND RESOURCES; AND FACILITATING THE INTEGRATION OF THOSE DEVELOPMENTS INTO THE TOTAL SPECTRUM OF BASIC LIBRARY AND INFORMATION SERVICES.

Justification

A. OLLR currently acts as a funding agency, and has been able to exercise only minimal direction over the use of the funds it provides.

B. Given the limited funding that is available, concentration of funds on the above activities will permit USOE to impact the widest range of States, institutions, libraries, and patrons.

C. Members of the library and information community surveyed in this study expect USOE to assume a leadership role in these areas.

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PART 1

INTRODUCTION, CHANGE MODEL FOR LIBRARY DEVELOPMENT, AND STUDY METHODOLOGY

1

INTRODUCTION

This report presents the results of an evaluation of the impact and effectiveness of two major Federal Programs to develop and improve library and information services, and proposes a series of recommendations to improve and integrate these Programs within a clearly defined Federal policy. Title II-B of the Higher Education Act (HEA II-B), as it pertains to library research and demonstration, is one of a small number of Federal efforts to sponsor projects capable of providing new technologies, service delivery mechanisms, and innovations for the improvement of library services. Title III of the Library Services and Construction Act (LSCA III) is the only Federal initiative which supports multitype library cooperation and network development at the State level.

There is a very definite need for an evaluation of these two Federal Programs at this time. As of January 1, 1978, both Programs have been operated by the U.S. Office of Education for more than 10 years, yet neither has undergone an independent evaluation. Each Program has potentially far-reaching effects on library development, but many observers contend that the Programs have been severely underfunded and that they have been given a low priority in comparison with the other programs administered by USOE.

An interesting contradiction to this low priority can be found in the Nixon and Ford Administrations' efforts to redefine the Federal/USOE role in library services in such a way that State and local governments would have near total responsibility for supporting these services. Federal involvement under the Nixon-Ford proposals focused on innovative library research and demonstration, and library cooperation and networking which would have increased resource sharing. These emphases are very similar to the Programs evaluated in this report. Thus, while de-emphasizing USOE support of public library services, this proposal would have increased USOE short-term support of innovations in the library and information sciences.

1.1: BACKGROUND OF THE STUDY

The two Federal Programs which are evaluated in this study are the result of separate pieces of legislation. The first Program evaluated in this report, the HEA II-B Library Research and Demonstration Program,[1] provides grants on a discretionary basis to institutions of higher education, and other private and public institutions, to support research and demonstration projects in the fields of library and information sciences.[2] This Program is authorized by Title II-B of the Higher Education Act enacted in 1965. Grants are awarded on a competitive basis for the purpose of improving library and information services, improving education in information science and librarianship, and for disseminating information derived from the projects. Since 1971, a total of 75 projects have received 131 separate grants amounting to $11.13 million.

The second Program, LSCA III, provides categorical grants to the States to plan, develop, and support multitype library cooperation as part of a total public library services development program, and is authorized under Title III of the Library Services and

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[1] Also known as the Library Research and Demonstration Component of Title II-B of the Higher Education Act. Part B of Title II also authorizes the Library Career Training Program. This Program is concerned with providing Fellowships for Librarianship training and conducting institutes in key areas of current library practice. The Training Program is not included in this evaluation. It should be noted that while training is not the concern of the Research and Demonstration Component, it does provide grants to develop innovative training programs applicable to the needs of librarians.

[2] This Program is also authorized to award contracts.

Construction Act (LSCA), first enacted in 1966. A designated agency in each State and possession (referred to as the State Library Agency) receives a basic allotment; any remaining funds are disbursed on the basis of relative population size. These funds are to be used:

> "(1) for planning for, and taking other steps leading to the development of, cooperative library networks; and (2) for establishing, expanding, and operating local, regional, and interstate cooperative networks of libraries, which provide for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers for improved supplementary services for the special clientele served by each type of library or center."1/

Receipt of these funds is contingent upon the development of a State plan for library service which must be approved by the U.S. Commissioner of Education. State matching of funds is not required, although many States do contribute their own funds.

From Fiscal Year 1967 to Fiscal Year 1977, $34.8 million in LSCA III funds have been appropriated by the Congress for allotment to the 50 States, the District of Columbia, Puerto Rico, and the four Trust Territories. During Fiscal Year 1976, the average allotment to each State was $49,103 and an average of $10,148 was allotted to each possession.2/ In this same Fiscal Year, LSCA III funds were distributed to a total of 112 cooperative library projects affecting a wide range of public, academic, school, and special libraries. Services provided by these projects ranged from the preparation of union lists and the provision of telecommunications, to sponsorship of continuing education for librarians and development of public relations materials.

Few studies of the impact of these Programs has been conducted to date. The HEA II-B Library and Research Demonstration Program

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1/ (20 U.S.C. 355e-1) Enacted Dec. 30, 1970, P.L. 91-600, Sec. 2(b), 84 Stat. 1669.

2/ During Fiscal Year 1976, a total of $2.59 million was appropriated by Congress.

has benefitted from only limited empirical inquiry. Similarly, a review of previous studies of related programs suggests rather strongly that the role and impact of LSCA III on the improvement of library services is not fully known.

The importance of fostering the objectives of these programs and providing for a systematic program of library research and demonstration is generally accepted. Yet it is necessary to examine the impact of the two major Federal Programs supporting such efforts. This need is highlighted by the fact that fiscal support of these programs over the years has been uneven, and that future funding and support is uncertain. Furthermore, as we will suggest in Part 4 of this report, these two USOE Programs play a potentially important part in the definition of the Federal role in supporting and leading the development of library and information services.

1.2: OBJECTIVES OF THE STUDY

The basic objective of this study is to evaluate the impact and operations of the two Federal Programs described in Section 1.1 and to develop definitive recommendations for the improvement of these Programs.

To assess the HEA II-B Library Research and Demonstration Program there were three main objectives:

- To determine the extent to which this Program has accomplished the following objectives:
    a) encouraging the use of community educational and cultural resources in new and effective service patterns;
    b) developing service patterns relevant to the needs of special target populations;
    c) developing more efficient uses of resources to fulfill comprehensive information needs of users;
    d) conducting assessments to determine the needs for new service patterns, of special target populations, and for training;

   e) developing new technologies or new applications of existing ones;

   f) designing relevant training programs;

- To identify the factors which contribute to the success or failure of this Program; and
- To recommend possible postures in the Federal policy for library research and demonstration.

The assessment of the LSCA III Program had three similar objectives:

- To determine the degree (if any) to which support from this Program has resulted in the establishment, expansion and/or operation of local, regional, State or interstate cooperative library networks;
- To identify the factors which contribute to the success or failure of this Program; and
- To recommend possible postures in Federal policy for the establishment and/or expansion of cooperative networks.

The study approach used to meet these objectives involved two parallel series of comprehensive reviews of enabling legislation and the literature, surveys, interviews with key Federal policymakers, and the conduct of intensive case studies. Data collected to evaluate the HEA II-B Library Research and Demonstration Program included a survey of all projects receiving HEA Program funds from 1971 to 1976; interviews with all persons who have served as reviewers of proposals submitted for funding by the Program; interviews with a cross-section of persons active in the conduct of research and demonstration in library and information sciences; and case study of 12 projects. Data collected to evaluate the LSCA III Program included a survey of State Librarians in each State and territory on the operation of LSCA III at the State Library Agency level; a survey of all library cooperative and networking projects receiving LSCA III funds in Fiscal Year 1976; and case study of LSCA III in 10 States. A more detailed discussion of the evaluation methodology used in this study is presented in Chapter 3.

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1.3: BASIC ASSUMPTIONS AND CONSTRAINTS

A number of basic assumptions and constraints were recognized over the course of this study. Since there were no evaluations of either Program, this study could not build upon previous works or make comparisons with earlier studies to describe changes over time. Furthermore, the available data (particularly those which are maintained at the Federal level) on both HEA II-B supported library research and demonstration projects and LSCA III supported library cooperatives and networks are incomplete and could not be subjected to meaningful comparisons across projects.[1] As a result of these constraints, this study has relied heavily upon primary data collection and represents the first systematic evaluation of these two Programs.

Rather than make a cursory examination of all projects receiving Program funds, this study concentrated upon a narrow range of representative projects. For the library research and demonstration projects, only projects receiving HEA II-B support since 1971 were included. The 1971 date marks a shift in the Program's emphasis: from research to demonstrations and meeting the needs of special target populations.[2] Only those library cooperative and networking projects receiving LSCA III funds during Fiscal Year 1976 (the most current complete funding period) were studied in detail.

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[1] USOE Program files were found to be incomplete by a team of researchers assigned to abstract the data reported to USOE by projects and States. Final and quarterly reports were missing for several projects where they were required. Further, data were not reported in standard format by projects so that data could not be compared across projects.

[2] A discussion of this shift appears in an article by P. Janaske, "Federally Funded Research in Librarianship," Library Trends, July 1973.

It is not the purpose of this study to assess the impact of the Programs on library patrons or users. While individual library research and demonstration projects may directly affect members of special target groups, the emphasis of the HEA II-B Research and Demonstration Program is on providing models which can be replicated to produce the desired benefits. Similarly, the projects receiving LSCA III support tend to have a secondary or indirect impact on the patron or user. Often the patron is not aware of the project and cannot attribute any change in library services to it.

Finally, and perhaps most importantly, the results of this study, while structured in terms of a model of Federal involvement in library development, are directed toward USOE's role as one segment of the total Federal effort. Thus, similar programs of other agencies (such as the Library of Congress, the National Science Foundation, and the National Endowment for the Humanities) have been examined to determine their relationship to the two USOE Programs under study. This study is not intended to be an evaluation of all library networking efforts and library research and demonstration programs. However, to the extent that the HEA II-B Library Research and Demonstration Program and LSCA III represent discrete components of the Federal effort, we can refer to the Federal role. It is recognized that efforts to support library development are not limited to USOE and must include other Federal and State agencies.

1.4: OVERVIEW OF THE REPORT

This report consists of two volumes. The first volume presents the results of all analysis and recommendations for consideration by policy-makers at USOE and throughout the library and information community. Volume II contains 22 reports, the results of intensive case studies of 12 HEA II-B Library and Research Demonstration Projects and LSCA III in 10 States.

In Volume I, Part 1 contains the introduction, model of the innovation/change process as it relates to library development, and study methodology. Part 2 presents the analysis of data pertaining to the HEA II-B Library Research and Demonstration Program, first providing an overview of the Program and its setting, then assessing the impact of the Program on library research and demonstrations, identifying successes and failures, and finally presenting data on future directions. Part 3 focuses on LSCA III and presents an analysis of the development of multitype library cooperation, identifying key factors affecting the success/failure of the Program, and finally presenting data on future directions for the Program. Part 4 of this report presents a summary of findings regarding both Programs and concludes with a presentation of Applied Management Sciences' recommendations regarding the future role of USOE relative to these two Programs.

To facilitate the use of this volume, appendices are provided which contain the definitions of terms used in the study (Appendix A), legislative histories and texts of the enabling legislation for the two Programs (Appendix B), the survey and case study instruments (Appendix C), and references (Appendix D).

Volume II of the report contains 22 case studies of HEA II-B library research and demonstration and LSCA III. Part 1 contains case studies of 12 judgmentally selected library research and demonstration projects funded by the HEA II-B Program. Part 2 of this second volume contains case studies of LSCA III in ten randomly selected States. Each of the case studies in Part 2 reports on LSCA III on a statewide basis and examines library networks or cooperative ventures that received LSCA III support in Fiscal Year 1976. Collectively, the 22 profiles provide numerous insights into the two Programs and facilitate greater understanding of the data and findings.

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LIBRARY AND INFORMATION RESOURCE AND SERVICE DEVELOPMENT, TESTING, AND UTILIZATION: A MODEL HAVING IMPLICATIONS FOR THE FEDERAL ROLE

The Federal Government has participated in efforts to provide adequate library and information services to the American people in a variety of ways. Currently, there are eight diverse and uncoordinated library and information assistance programs managed by USOE.[1/] A variety of other Federal agencies, private foundations, and commercial firms also provide money to support the development of library resources and services. A fundamental assumption behind these efforts is that there will be a progression from innovation to utilization: the individual seeking information will benefit, directly or indirectly, from the results of innovative research. This progression can be described heuristically and the role of the Federal Government can be related to this process.

2.1: DEVELOPMENT OF A CHANGE MODEL

To illustrate the role of the Federal Government regarding library and information services,[2/] a model was developed grounded in social and institutional change theory but adapted to the library

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[1/] LSCA I (Library Services); LSCA III (Interlibrary Cooperation); ESEA IV-B (School Libraries and Instructional Resources); HEA II-A (College Library Resources); HEA II-B (Training); HEA II-B (Research and Demonstration); HEA II-C (Research Library Resources); HEA VI-A (Undergraduate Equipment).

[2/] This is a hypothetical model. It does not describe the current approach used by USOE to administer its library programs. Whether or not such a model could be implemented *in toto* is questionable in light of political and bureaucratic realities.

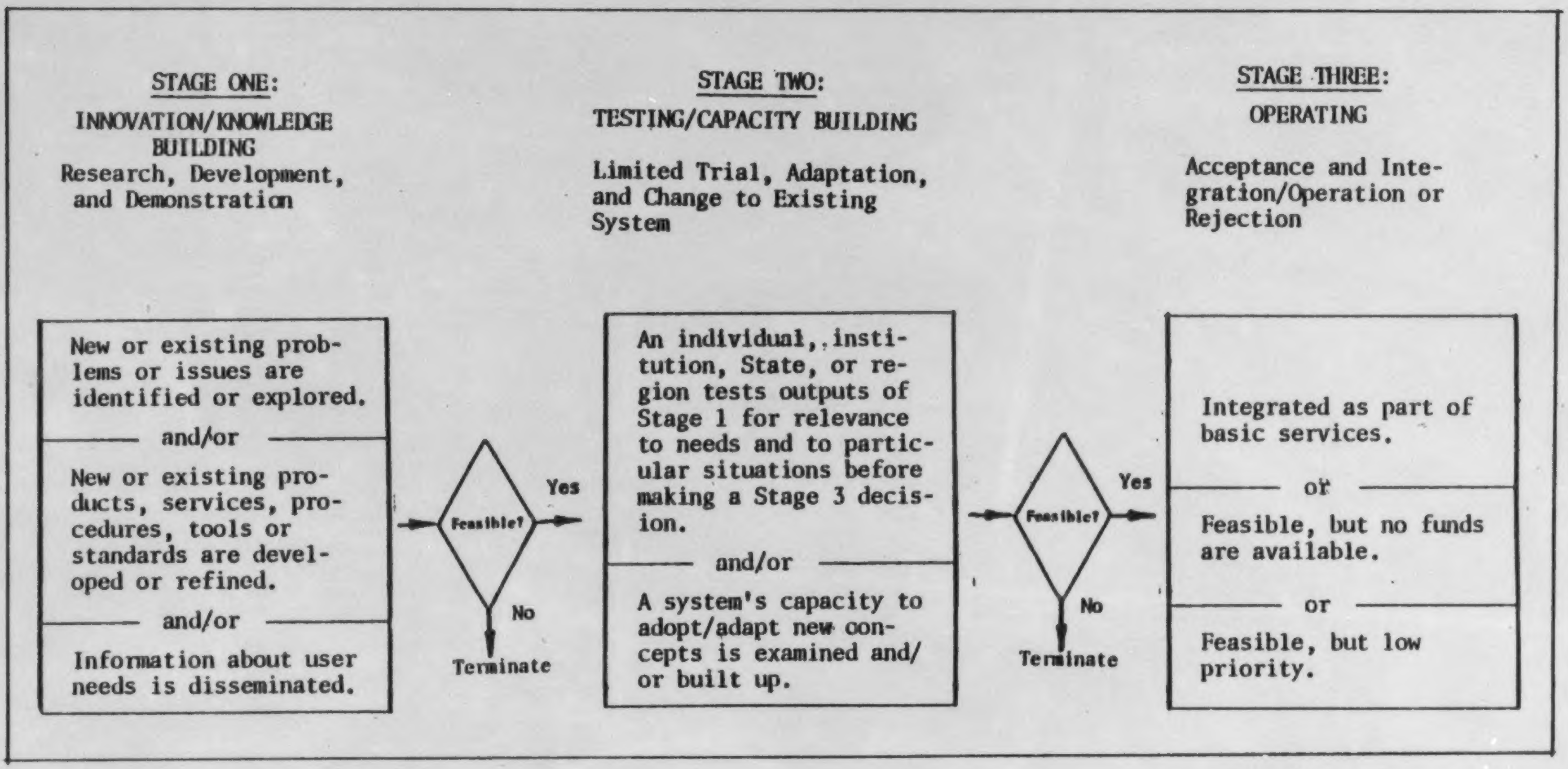
and information 'system' in this country. Recent USOE policy suggests that there is increased interest upon placing more of its emphasis on supporting the *development* of library and information services rather than on supporting the *delivery* of library services. If these development dollars are to have an impact, it is critical that service developments (products) are adopted by the libraries and/or the administrative structures governing them. An underlying assumption of the model is that the goal of the Federal Government is to build the capacity of present organizations to attain their goals without the ongoing Federal subsidy of their operations.

A dynamic model of such a process requires three components: stages which allow for innovation/knowledge building, testing/capacity building, and operation; and linkages between those stages. This process does occur informally but it is not fully recognized or understood and is in need of being strengthened. Exhibit 2.1 illustrates the process model. The three stages of the model are as follows:

- *Innovation/Knowledge building*: defined as conducting research, development, and demonstrations within some general framework having defined goals (Stage 1).
- *Testing/Capacity building*: defined as limited, controlled testing by the potential user of the products of Stage 1. Capacity building is also defined as determining whether or not the existing library service system has the capacity to integrate this new product, and, if not, identifying how the existing system or the product must be adapted (Stage 2).
- *Operating*: defined as the decision to accept and integrate a new product for the services tested in Stage 2; and assume responsibility for providing for the costs of the new service or product (Stage 3).

The stages of the model clearly represent a process, but without actors (innovators, testers, users, and coordinators) the processes within each stage will not occur nor will particular products proceed through the stages. In the discussion which follows, the stages, actors, and funders are described and the concept of linkage is elaborated.

EXHIBIT 2.1: CHANGE MODEL DESCRIBING THE STAGES OF DEVELOPING, TESTING, AND OPERATING NEW LIBRARY AND INFORMATION SERVICES



STAGE ONE:

INNOVATION/KNOWLEDGE BUILDING

Research, Development, and Demonstration

New or existing problems or issues are identified or explored.

and/or

New or existing products, services, procedures, tools or standards are developed or refined.

and/or

Information about user needs is disseminated.

STAGE TWO:

TESTING/CAPACITY BUILDING

Limited Trial, Adaptation, and Change to Existing System

An individual, institution, State, or region tests outputs of Stage 1 for relevance to needs and to particular situations before making a Stage 3 decision.

and/or

A system's capacity to adopt/adapt new concepts is examined and/or built up.

STAGE THREE:

OPERATING

Acceptance and Integration/Operation or Rejection

Integrated as part of basic services.

or

Feasible, but no funds are available.

or

Feasible, but low priority.

Stage 1

The first stage represents the process of acquiring new knowledge and new ideas--the necessary first step in the change process. For libraries and information services, the need for new knowledge covers areas ranging from the information transfer process to assessments of the latest information technology. Developing new relationships among institutions that help provide more and better services to clients, discovering previously unidentified client needs, or experimenting with new ways to increase client contact are all activities which occur in the knowledge building stage. This is essentially a creative stage--ideas are generated and tested but not expected to be implemented immediately. Innovative approaches need to be encouraged at this stage; the failure of some ideas to work is to be expected, not despaired. Even unsuccessful experiments can provide new information.

The innovation/knowledge building stage is characterized by surveys, systems development, experiments, and tests of new ideas. Funding may be defined as risk money which permits new growth, but does not necessarily expect a tangible return on its investment.

Stage 2

The second stage in the process of change is the capacity building and testing stage. The ideas from Stage 1 which have promise for improvement/change of services are applied to individual situations and tested on a limited or trail basis to determine if the idea is appropriate and applicable to service needs. If an idea can be adopted, it must be developed into a tool that will be useful to the institution using it. Stage 2, then, helps to establish a product's role and develop the capacity of the institution or agency to implement it. For example, a State Library Agency might be interested in joining a multistate network providing cataloging services. It may use its LSCA III allocation to study the feasibility of membership, determine how best to centralize or otherwise coordinate participation by its library systems, and train staff in the use of such a system. Assuming that the system is feasible for that State, and the staff can integrate the new functions with existing functions, the State Library Agency can then decide whether or not to join the network.

As in Stage 1, during this period of limited trial and adaptation, funds are investments for which some extent of failure may be expected. The comparatively small loss potential, however, may forestall a larger one by avoiding the failure of a full-scale implementation effort. This is a particularly pressing need given the limited funds available to most library systems. The trial stage allows adaptations to be made which will make the change acceptable and relevant to the institution. Capacity building allows the local library or information system to "make room" for adopting the new concept in a cost-effective manner.

Stage 3

Once new ideas have been translated into new services that work on a limited basis, institutions and organizations must decide if they should undertake full-scale operation. This Stage 3 process includes an evaluation of the feasibility of the change for the institution based on the trial; an estimation of the feasibility within budgetary possibilities; and an estimation of the priority implementation of the idea. If feasible, the new service is implemented at this point. This concept of full-scale operation carries with it a commitment to assume a major share of the costs of the new service. Full-scale operation is most likely to occur--successfully--where the organization or agency adopting a service is committed to its support.

Two major factors allow concepts to move from one stage to the next: funds; and linkages between funding agencies, researchers, and library and information agencies/institutions which serve as the communications channel.

The Agencies and Institutions Taking Part in the Change Process

It is useful to describe the various real and potential participants at each stage of the model and their role. The players include library schools; universities and their libraries; public, academic, school, and special libraries; private organizations (for-profit and not-for-profit); local governments; State governments; and the Federal Government. In general, each of these agencies can participate as researcher, service provider, or funder but it is likely that these organizations will be distributed as follows:

- Researchers (Stages 1 and 2)
    - library schools
    - universities
    - libraries and library networks
    - private organizations (not-for-profit and commercial)
    - agencies and institutions outside the library and information fields that develop or have need of information-based products and services
- Service providers (Stages 2 and 3)
    - libraries and library networks
    - local governments
    - State governments (State Library Agencies)
    - agencies, institutions, and/or private organizations
- Funders (Stages 1, 2, and 3)
    - agencies, institutions, and/or private organizations
    - local governments
    - State governments
    - Federal government

Role of Funds and Funders

Funders may enter at any point in the process, and some may prefer to participate in specific areas, while others are more flexible. A more focused Federal role in the library and information community will affect the flexibility with which USOE, in particular, disburses its funds: the individual programs would be directed at specific stages in the process, and the allocation of Federal funds would be coordinated. If the major funding sources are categorized according to their primary emphasis, then the major funders would correspond most closely to each stage in the following way:

- Stage 1: Innovation/Knowledge Building
    - .. HEA II-B Library Research and Demonstration
    - .. Other Federal programs (NEH, NSF)
    - .. Private funding agencies (e.g., Kellogg Foundation, Council for Library Resources)
- Stage 2: Testing/Capacity Building
    - .. HEA II-B Training
    - .. HEA II-C Research Library Resources
    - .. LSCA 1[1/]
    - .. LSCA III
    - .. Other Federal programs
    - .. State and multistate consortia (e.g., New England Library Board)
    - .. Private funding sources
- Stage 3: Operating
    - .. Local governments and agencies
    - .. State governments and agencies (State Library Agencies)
    - .. Federal Government programs to fund special needs
    - .. LSCA I
    - .. Individual libraries

[1/] This includes any amounts accruing as a result of the recently passed provision that requires a set percentage of LSCA I to be reserved for urban libraries if funding exceeds $60 million.

Currently HEA II-B Library Research and Demonstration enters into the model at both Stages 1 and 2 and has, in the past, infrequently figured into Stage 3. LSCA III, as it is currently used, enters into any of the three stages, but most often is used to support activity in Stages 2 and 3. Many states are using Federal funds for Stage 2 activities. In many cases the Federal funds are the only discretionary funds available for this use. Since Stage 2 activities are necessary to get to Stage 3 where new services are actually operational, the use of Federal funds in this way is an appropriate and indeed essential role for the Federal Government. The model proposes limiting these Programs to specific stages in the future, with each Program firmly establishing its priorities in one of the stages. For the broader public library and information systems outside the schools, the available funds are small ($60,000,000),[1] compared to those provided by the ESEA Title IV-B ($142,000,000). For this reason, and because the sum is divided among several programs, a focused role will result in a more efficient use of funds.

The model has led us to suggest, later in this report, that the HEA II-B Library Research and Demonstration and LSCA III monies should be focused on, but not necessarily limited to, Stages 1 and 2, respectively. In addition, while LSCA III legislation allows the use of funds for operating networks, we believe that the funds can achieve greater impact if used for Stage 2 activities. Special need areas could exist where persons would be underserved or unserved without Federal funds to operate essential services in Stage 3.

Role of Linkage

Linkage is a crucial concept in the successful operation of this model. Linkage is the interconnecting of the stages and the communication of knowledge of each activity to the library and information community and related organizations and agencies. Communication of knowledge is usually accomplished through dissemination and project related training, and will be discussed in later sections; the interconnection of stages is discussed below.

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[1] This figure includes the total for HEA II-B Library Research and Demonstration, LSCA I, and LSCA III combined.

Between each stage of the model is a decision point at which potential funders and decisionmakers evaluate what has gone on earlier and decide whether to follow-up on specific activities; for example, to test a new approach for providing library services in economically depressed urban areas (Stage 1 to Stage 2 Linkage). If Stage 2 is to occur, two events must happen: decisionmakers must be made aware of the project in question (dissemination); and the decisionmakers must possess some degree of familiarity with the project's services or know that such expertise can be obtained (training). The project can then be assessed in the context of known needs. The decision to implement, based on this Stage 2 assessment, is dependent upon the priority of need and the availability of funds. If implementation is decided upon, and funds are available, then the process has been completed.

It is not expected that all of the projects funded under Stage 1 will be translated to Stage 2 and even fewer will reach Stage 3. Since the linkage process is not operating effectively only about 35 percent of the HEA II-B Library Research and Demonstration projects funded between 1971 and 1976 were continued (adopted) by the sponsoring agency. Replication in other localities and by other agencies has been limited. On the other hand, 100 percent replication (movement from Stage 1 to Stage 2 and Stage 3) should not be expected. The purpose of Stage 1 is the creation of new concepts, new services, and new knowledge in library and information, and the experimental testing of the resulting products. In the process, the new idea may be found impractical. The purpose of Stage 2 is a more pragmatic adaptation of the new knowledge, and a thorough *field* testing or *demonstration* of the adapted products. Stage 2 is the critical link between innovation and implementation. Similarly, transference from Stage 2 to 3 will not be 100 percent. The decision to carry a Stage 2 product into Stage 3 is dependent upon the evaluation of the product, and the feasibility of implementing the project under the existing priorities of the adopting/adapting agency.

Linkage between the three stages occurs in several ways. For example, an agency which identifies the need for a new system may sponsor (and possibly fund) preliminary research and development, trial runs of the product, and implementation. In this case the agency itself links the stages and promotes activities. Here, dissemination, training, and replication *may* not be crucial to project advancement through the stages. Often, too, the creator of a new concept will drive it from stage to stage through his/her leadership, by seeking funds, disseminating information, and the like because of personal/professional commitment to the idea.

More likely, however, the stages will remain more or less distinct, primarily because individual agencies cannot assume all the necessary technical and financial burdens across the three stages. Moreover, the many agencies that are part of this process have their own agendas and interests which do not (and should not) allow for rigid integration into particular stages of the change process. What is necessary is the maintenance of coordination and linkage to insure a progression from Stage 1 to Stage 3. Coordination among these members of different affiliations may be quite difficult, but without it the linkage necessary for change will not occur.

The Federal program staffs, other State, local, and private funding agencies, and professional organizations as well as project directors are all in some way responsible for linkage. The funding agency--the one making the investment--however, appears to have the largest stake in assuring adequate coordination. If USOE's role is to support the development of library and information services and processes, it has an obligation to insure that the change process functions. A focused Federal role entails a substantial commitment from USOE to assist in the linkage process in order to insure the success of the system as a whole.

2.2: THE PROCESSES OPERATING IN EACH STAGE OF THE MODEL

The goal of the change model is to provide a process that permits new library services to be developed and integrated into basic library and information services. At each stage similar activities occur which lead to the decision to adopt/adapt (or reject) a new service or product before it enters the next stage. These activities include the following:

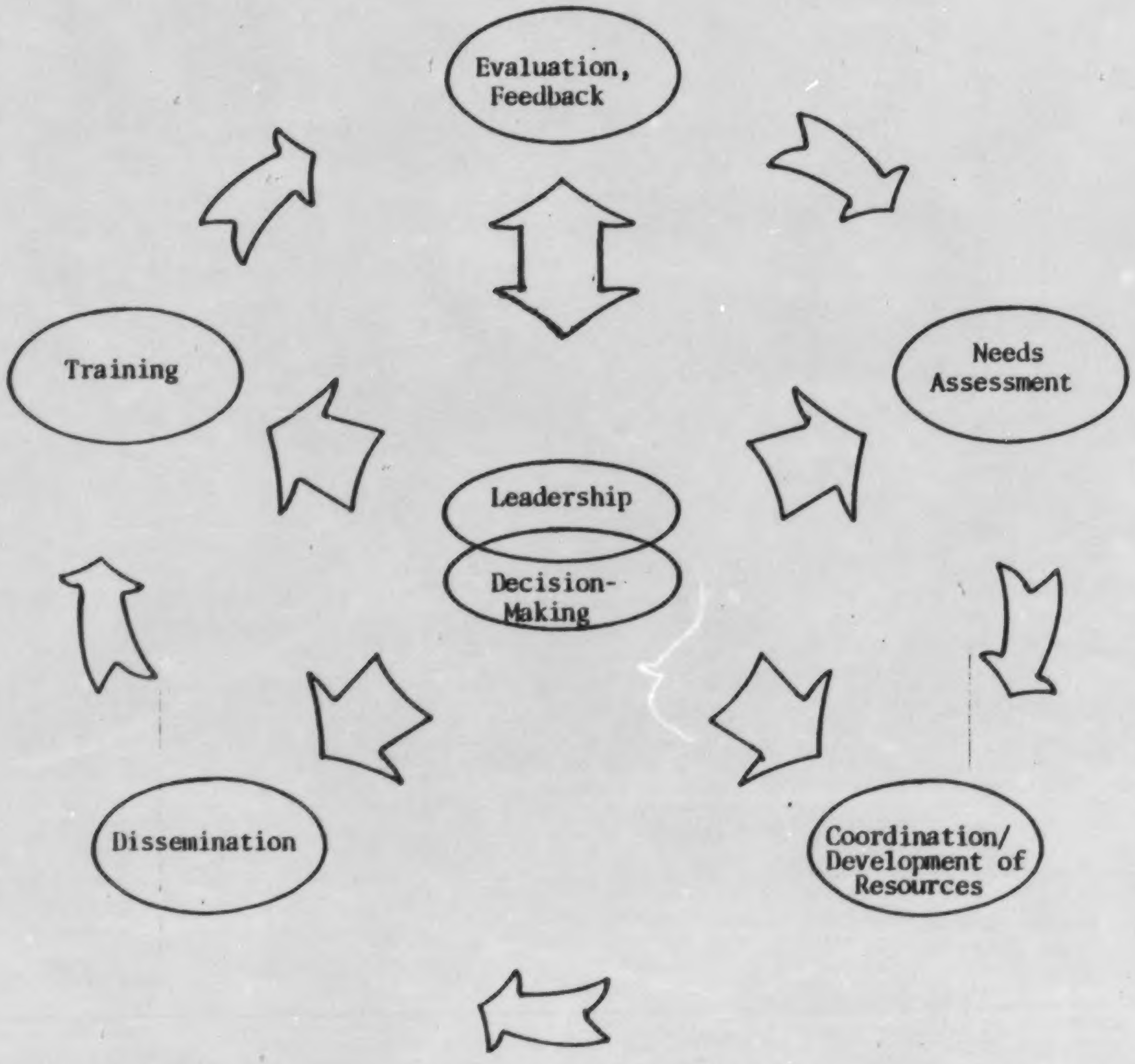
- Needs assessment to determine if the need for a new service or product exists and the magnitude of that need;
- Development and coordination of resources to meet the need;
- Dissemination of information about the new product or service;
- Training in the use of the new product or service; and
- Evaluation and feedback on the effectiveness, appropriateness, and cost effectiveness of the product or service.

The dynamic nature of the relationship between these activities is identified in Exhibit 2.2. Each activity is defined below.

Needs Assessment

Needs assessment is conducted to determine what the needs of intended beneficiaries are and where resources can have the most benefit. To some degree, needs assessment can provide input into the design of new products or services. To determine these needs a direct survey of beneficiaries or a secondary analysis of previous

EXHIBIT 2.2: FIVE ACTIVITIES UNDERLYING EACH STAGE OF THE LIBRARY DEVELOPMENT MODEL


Evaluation, Feedback
Training
Needs Assessment
Leadership
Decision-Making
Dissemination
Coordination/ Development of Resources

research may be conducted. User needs should be considered before adopting/adapting a concept at any stage, however, and should be part of any feasibility decisions. Knowledge of these needs is integral to all policymaking, and is necessary to evaluate later activities. Needs assessment may also be an analysis of an agency's or institution's activities in order to identify where new services or resources are necessary to meet the agency's commitments or to help it grow.

Coordination and Development of Resources

This activity may be characterized as the "core" of the model--new ideas are developed, researched, and improved or older ones are applied to new situations. This is the knowledge and resource building stage where the creative and innovative activities are primarily centered. Innovation/Knowledge-building includes new research about methods and clientele, experimenting with new media, delivery systems or support systems, or with new applications of old ones. Resource building increases the capacity of libraries to provide their services. Resources in all types of media and formats--periodicals, monographs, documents, other print and non-print materials--are the keystone of the system. First, each library must have sufficient resources to meet the most important and frequent needs of its clientele. Second, effective delivery systems (including the coordination and cooperation among libraries to make agreements required to provide increased access to materials an individual library does not own) are required. Third, steps need to be taken to ensure that the resources (in the global sense) are maintained and developed.

During the Coordination and Development of Resources activities, cooperation among different individuals or organizations doing similar types of things will increase both the efficiency and effectiveness of tasks, and possibly provide an impetus for the dissemination activities to begin.

Dissemination

A product or service can only be used if the potential user knows about it. Thus, to obtain maximum benefit from any product it is necessary to disseminate information about it. Dissemination activities range from word-of-mouth, informal communications to formal reports, published materials, etc. Dissemination is the key to the linkage process, and requires a great deal of care and attention.

Training

Training is an integral part of getting change to take place, and also figures into linkages from one stage to the next. Effective dissemination of new ideas and services includes a training component. Even in the Stage 1 experimental phase, some training takes place (staff, trial participants, etc.).

In Stage 2, training expands the ability of an agency to absorb, adapt, and finally adopt a new service or product. For example, if an automated multistate network is joined by a State, that State's staff must learn how to best utilize its services, how to access the network's services, and how those services will benefit users. Without this knowledge, adoption will be wasted. During testing/capacity-building, administrators and key staff will be trained so that the service can be adapted and tried. The entire staff which will utilize the service will require training. Adequate training is crucial to successful use of a product or service. In Stage 3, staff must be provided with continuing education and training to upgrade their skills.

Evaluation/Feedback

The evaluation/feedback process involves the examination of the new product or service to determine if it is satisfying the need or gap it is intended to fill. Evaluations may result in the identification of new areas of need, starting the process over again. However, the purpose of evaluation is to provide information for adapting a product and, once the product is replicated, to determine whether or not it is having its intended impact.

Leadership and Decisionmaking

The central or pivotal activities about which all other activities orbit are leadership and decisionmaking. In essence, leadership and decisionmaking provide the coordination needed to drive the model within and between the three stages. The orbital activities and their movement through the model are accomplished through leadership exercised by policymakers, funders, and researchers/administrators at each stage. Joint decisionmaking was found associated with projects that had reached Stage 3. Involvement of those who will be affected by any change in planning that change is a recognized factor of change agentry and successful system implementation. It is especially important in the model here which requires libraries to re-allocate resources or to seek additional funds for the ongoing support of new activities.

While all the above activities must occur in all stages of the model, the importance or weight given to certain activities will vary depending upon the stage of the model being examined. Leadership and decisionmaking, however, remain equally critical and important in each stage. In Stage 1, needs assessment, development and coordination of resources (with greater emphasis on development), and dissemination are of the greatest importance. These three activities embody the increased knowledge, innovation, and communication which define Stage 1. Within Stage 2, development and coordination of resources (with greater emphasis on coordination), training, and evaluation/feedback become the critical activities which structure the capacity building and testing stage. Stage 3, implementation, requires specific attention to training and evaluation/feedback if new products and services are to be efficiently integrated with basic services. Evaluation provides the administering agency with the information necessary to determine if the new service or product has had the desired effect.

2.3: APPLYING THE LIBRARY AND INFORMATION DEVELOPMENT CHANGE MODEL TO THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION AND LSCA III PROGRAMS

The change model presented here was developed in response to a number of observations resulting from the analysis of data about the HEA II-B Library Research and Demonstration and LSCA III Programs. First, the products of the HEA II-B Library Research and Demonstration Program are not adequately disseminated in spite of the fact that many have a high potential for meeting library service needs. Second, LSCA III funds are supporting capacity-building (Stage 2) and library services (Stage 3) but there is no clear distinction at the State level between these two uses of funds. Moreover, many of these LSCA III supported services are concentrated in a fairly narrow range of cooperative activities (access to and exchange of library resources), and there is reason to believe the range of cooperative services should be expanded in the future.

To illustrate the change model, one project receiving HEA II-B Library Research and Demonstration funds from 1972 to 1976 will be used as an example, although the findings are applicable to both Programs. The overall aim of the Nontraditional Study--the Public Library Approach Project was to improve educational services of the public library to adult learners who are engaged or wish to become engaged in individualized independent learning activities. In 1972, the College Entrance Examination Board (now the College Board) applied for and received a grant to plan and develop a guidance and counseling program that would efficiently utilize and actively involve participation of public libraries in such a way that they might become "true community learning centers." Over a period of four years, the project received grants totaling approximately $325,000.

In the first phase, service, training, and evaluation models were developed. This involved surveys, national conferences, and goal definition on the part of the national office and the twelve public libraries and one State Library Agency who agreed to participate. In the second phase, personnel at participating public libraries were trained in planning, evaluation, interpersonal communication, counseling, guidance, and understanding the adult learner. During the second phase, participating libraries also developed written plans for service to support adults engaged in self-directed learning projects. In the third phase, direct control of training was transferred to the participating libraries and operation of the service programs at these libraries began. Dissemination was actively pursued. Finally, during the fourth phase a consortium of participating libraries was formed to continue the project. Also, a common set of data on adult learners was established to help monitor the project. During its last year, the project conducted 25 dissemination seminars throughout the United States and also provided workshops.

During its four years the project was very clearly a State 1 activity in terms of the model, the Program recognized the need and the project developed the innovation. The project was largely responsible for dissemination.

The feasibility of the approach has been demonstrated. Among the original participating public libraries, two have left the consortium and now function independently. Three public library systems have since joined the consortium. Dissemination has been extensive. For example, in an effort to test the dissemination effort, 21 of the 22 counties in the State have implemented the projects results. Also, the New Jersey State Library Agency provided LSCA I funds to disseminate the projects results and promote their adoption by libraries in New Jersey. This second example illustrates one aspect of a Stage 2 activity suggested by the model. Dissemination has been effective.

With the exception of the fact that the project has been successfully continued, and New York State has implemented the project results, widespread adoption of the project and operationalization has yet to take place. Yet the groundwork--dissemination, availability of technical assistance and training materials, leadership--is present, and it can be expected that the projects results will progress through Stage 2 to Stage 3, operationalization.

Another project receiving HEA II-B Library Research and Demonstration funds has progressed from Stage 1 to Stage 3. In 1971, the Ohio College Library Center (OCLC) received a grant to assist development of a computerized on-line regional library system. From the beginning, the project involved the system's potential users in decisionmaking that affected the system's design. This cooperation and the leadership of the project director in educating the project's potential users are key reasons for the project't success. At the end of Stage 1, the project had sufficient support and visibility for the Ohio State legislature to provide funds to subsidize the OCLC until member institutions could assume membership costs. In addition, the Ohio State Library Agency provided the only discretionary funds available to it (LSCA I and LSCA III) to further support this Stage 2 process. Other States have used LSCA III funds in a similar way (i.e., purchasing on-line terminals and telecommunications lines, and offsetting startup and staff development costs). Currently, over 1,000 libraries of all types are participating in OCLC and have incorporated the costs of participation into their operating budgets. Stage 3 has been reached.

Some States use LSCA III funds in accordance with Stage 2 activities, but all too often these funds are used in Stage 3 in combination with other Federal, State, and local funds. Similarly, the HEA II-B Library Research and Demonstration Program is part of Stage 1. However, it is difficult to find many other examples of

HEA II-B Library Research and Demonstration projects that have moved from Stage 1 to Stage 3. The absence of a focused USOE role and coordinated activities are major factors underlying this current state of affairs.

2.4: SUMMARY

Our analyses have led us to the conclusion that this model illustrates the stages and processes necessary for new, improved, and/or expanded library and information services. Future policy decisions affecting Federal programs should be considered in light of this model. The purpose of the model is to *illustrate* an optimal relationship among the tasks, agencies, and sources of funds currently used in the changing of library and information services. To realize this model in resource and knowledge building in the library and information field as a whole, a commitment to a focused USOE role is required, assuming that there is to be a USOE role in the future.

This model was drawn from the survey data and case studies which were the major data collection effort for this study. The model is a useful tool in the analysis of the data because it permits the findings to be placed in perspective and to be seen in relationship to one another. The HEA II-B Library Research and Demonstration Program and the LSCA III Program may differ in objectives and approaches, but they are both steps in a larger, more complete process. By conceptualizing that process, we have been able to illustrate the Federal role in library and information services. Our following analysis shows that USOE involvement has made a positive difference in the delivery of library and information services. Our recommendations in Chapter 12 show how USOE involvement can have greater impact on a need we have identified for a focused USOE role in library research and demonstration and in library cooperation and networking.

3

STUDY METHODOLOGY

The assessment of the two library development programs under study required the development of a data collection and analysis methodology suited to the objectives and information needs underlying this study. The resulting methodology is comprehensive rather than complex. This chapter contains a description of the methods used to evaluate the HEA II-B Library Research and Demonstration and LSCA III Programs. A discussion of the study design and its relevance to the study objectives is given. Following this, the major components of the study methodology are described: the survey instrumentation; the sampling procedures used to select the projects and other respondents; the case studies; and the analysis of data.

Before summarizing the study methodology, it is important to address the issue of evaluating two diverse library programs with different goals, operational characteristics, and impacts.[1] Throughout the course of this study, it has always been recognized that the two Programs are distinct; this has required the use of parallel study designs and is also reflected in the organization of this report. However, the Programs do share an important commonality.

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[1] This separation of Programs is most lucidly evidenced by the fact that the Programs have different authorizing legislation and their respective Titles represent comparatively minor segments of each Act. For HEA II-B the other Titles of the Act represent the core of Federal involvement in higher education. LSCA III is overshadowed by Title I which contains the primary emphases and funding of public library services.

Both Programs are similar in that they support efforts to improve library services through innovation. In this context, it is reasonable to evaluate the Programs together because they represent the innovative components of the total USOE library support and development program. While the actual evaluation of each program is provided separately, it is reasonable to consider both in the context of one study. The cumulative findings resulting from this approach allow a general assessment of the strengths and weaknesses of USOE's management of library programs.

3.1: STUDY DESIGN

The three parallel study objectives for the HEA II-B Library Research and Demonstration and LSCA III Programs, outlined in Chapter 1, provided the basis for all subsequent design, data collection, and analysis. These objectives were expanded into five, more specific study questions:

- To what extent have the HEA II-B and LSCA III Programs accomplished their legislatively mandated objectives?
- What degree of impact have these Programs had upon the library and information science community?
- What factors contribute to the success of these Programs and how can these factors be strengthened and/or reinforced?
- What factors contribute to the failures or shortcomings of the Programs; what can be learned; and what recommendations can be made to avoid these problems in the future?
- What alternative postures in Federal policy are recommended to achieve the current Program objectives?

This approach allowed a wide range of data on Program impact and operations to be collected from varied perspectives. In addition to Program personnel and records at the Federal level, data sources included: State Library Agencies; HEA II-B Library Research and Demonstration and LSCA III projects; two adjunct groups

(Application Review Panel Members (ARP) and Research and Demonstration Peers (R&D Peers)); and librarians. Because of the relatively small size of each group it was possible to survey all members of each study population. This approach provides the comprehensive data needed to truly reflect the wide variations in outputs which characterize each Program.

As comprehensive as these data might be, it was also recognized that analysis of the Programs would benefit greatly if case studies at the State and project level were conducted. Thus, as an integral part of the study design, a sizeable number of intensive case studies (22) were incorporated into the design. These case studies clarify the survey results and provide empirically based reasons for the trends found in the surveys.

Measuring Impact and Success/Failure

A key element of the study design concerned the interrelated issues of Program impact and success/failure. To realize this design requirement, it was necessary to develop and explore a range of measures appropriate to each of the Programs.

For the HEA II-B Library Research and Demonstration Program, impact must be measured in terms of the legislative objective which is to:

> "...make grants for research and demonstration projects relating to the improvement of libraries or the improvement of training in librarianship, including the development of new techniques, systems, and equipment for processing, storing, and distributing information, and for the dissemination of information derived from such research and demonstrations ..."

At the simplest level, measurement of impact entails classifying, by priority areas, the various projects funded by the Program and counting the number of projects in each category. In addition, the inherent goal of any research and demonstration program is the synthesis and replication of results so that these results will have an impact on library services and technology. Measurement of this second aspect of impact provides a more complete assessment of the

Program. The examination of success and failure and the reasons for it is approached from two points of view. First, those factors relating to Program management are examined. Second, those factors affecting project performance are examined.

Impact, as it relates to LSCA III, is also closely tied to the stated objective of the legislation: to "promote interlibrary cooperation among all types of libraries." In an applied context, impact means the extent to which State Library Agencies using LSCA III have developed and promoted interlibrary cooperation among libraries in their States and, where appropriate, cooperation with library systems outside the State. Measurement of this objective requires a systematic description of LSCA III supported cooperative and networking projects as well as distinguishing between innovative and noninnovative use of LSCA III funds. Success or failure of the Program, on the other hand, is addressed in terms of the Program itself and involves examining projects collectively, as opposed to labeling individual projects as successful or unsuccessful since no definitive and accepted criteria exist. By examining State LSCA III Program and LSCA III project data with common sets of measures, it has been possible to identify those factors which contribute to success and failure.

3.2: INSTRUMENT DESIGN AND SELECTION OF RESPONDENTS

The instruments used in this study were designed for two basic respondent groups: those appropriate to the HEA II-B Library Research and Demonstration Program and those relevant to the LSCA III Program. Within each group, the respondents were queried on issues specific to the Program, as well as a common set of issues.

Instrument Design

The instrument design was guided by certain criteria. First, every effort was made to minimize respondent burden: to ask each respondent only the most appropriate questions. Second, every possible opportunity for the respondent to express opinions and reasons for answers was provided to: 1) permit the respondents to express themselves; and 2) increase the evaluator's understanding of the reasons for responses. Third, instruments were designed specifically for the two modes of data collection: the surveys and the case studies. Interviews at the Federal level were less structured, though a general protocol was used for each interview. The instruments developed for the study included:[1]

- HEA II-B Library Research and Demonstration Program
  - Telephone questionnaire for a survey of project directors
  - Telephone questionnaire for a survey of the Program's grant Application Review Panel
  - Telephone questionnaire for a survey of Research and Demonstration Peers
- LSCA III Program
  - Mail questionnaire for a survey of State Librarians
  - Mail questionnaire for a survey of Project Directors of library cooperative and networking projects receiving LSCA III funds in Fiscal Year 1976.

Instruments were also developed for use in the case studies of each Program. For the HEA II-B Library Research and Demonstration Program, these included questionnaires for administrators at sites where a particular project was being demonstrated. Questionnaires for State Library Agency personnel, LSCA III project personnel, and member/nonmember libraries were developed for the LSCA III case studies.

All instruments were pretested and reviewed by the Project Advisory Panel, USOE Project Officer, and USOE Program personnel. The results of the pretest were used to make modifications to the instruments which significantly clarified and eased responses to questions. In addition, it was decided to delete a separate project director interview instrument for use in the case studies of HEA II-B Library Research and Demonstration projects in favor of using key items on the telephone instrument developed for these same project directors. All revised instruments were reviewed and approved by representatives of the Chief Officers of State Library Agencies (COSLA), the Committee on Evaluation and Information Sciences (CEIS) of the Council of Chief State School Officers (CSSO), the Educational Data Acquisition Committee (EDAC), and the Office of Management and Budget (OMB).[1/] Copies of all instruments are shown in Appendix C.

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[1] Instrument development was coordinated with the NCES Survey of Library Cooperatives, Consortia, and Networks.

Selection of States, Projects, and Respondents

A number of procedures were used to select respondents and to ensure that the selection process would yield representative results. In lieu of attempting to use probability samples of States, library cooperatives, or library research and demonstration projects, all members of each study population were selected and surveyed by mail and telephone.

Identification of HEA II-B Library Research and Demonstration projects was completed using USOE program records. This process was complicated by two factors. First, USOE considers the one year grant as a unit comparable to the project and, as a result, it records 131 separate projects. However, numerous projects have received continuation funding and, for purposes of this study, those projects clearly receiving multi-year funding have been treated as single projects. A second factor affecting the selection of HEA II-B Library Research and Demonstration projects is that during 1971 and 1972, the Program was required to channel some of its funds to support projects operated by other Federal agencies (most notably the Department of Housing and Urban Development and the Department of State) and lost its customary monitoring functions. Thus, records on these projects are not available. Furthermore, USOE is now investigating a few awards made in 1971 and 1972 because of suspected improprieties in the use of funds. It was necessary to

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[1/] The Office of Management and Budget forms clearance number for this study is 51-ST1019.

exclude both types of projects from the survey of HEA II-B Library Research and Demonstration projects. The net effect of these factors is that a total of 75 library research and demonstration projects, representing all projects, were surveyed.

In addition to the HEA II-B Library Research and Demonstration projects, two other groups of respondents were selected. The first group consisted of persons who have served on the Program's Grant Application Review Panel. Though it was initially intended to randomly select as many as 50 persons who have served in this capacity, only 47 persons had served on the Panel. All 47 persons were surveyed, and 45 responded. The second group of respondents is generally referred to as research and demonstration peers and its membership includes academicians, researchers, and administrators in the library and information science community. These persons were identified by asking all HEA II-B Project Directors to identify experts in fields similar to their own project's area of inquiry. The resulting list of approximately 80 persons was reviewed and persons already surveyed as Project Directors or members of the Application Review Panel were eliminated. Forty-one persons were selected for the survey.

Mail surveys for the LSCA III Program included all 56 State Librarians. All library cooperative or network projects receiving LSCA III funds in Fiscal Year 1976 were also surveyed. These agencies and projects were identified using LSCA III program records. The LSCA III projects included in the survey were identified in the annual plans submitted by each State Library Agency. However, during the survey it was found that some proposed projects were never undertaken while others were funded but not reported in the plans. Through efforts of the project staff, USOE, and the State Library Agencies, a total of 112 LSCA III projects were identified.

Selection of case studies for both Programs followed different procedures. A total of 10 States with LSCA III projects and 12

HEA II-B Library Research and Demonstration projects were selected for case study.

The selection of 12 HEA II-B Library Research and Demonstration projects for case study was completed using a judgmental procedure. The projects were first classified according to three criteria: subject area, level of funding, and length of funding. Projects were than selected to adequately represent these criteria. These projects are shown in Table 3.1. As part of the selection design, for each project, an attempt was made to visit three additional or satellite sites used to demonstrate and test the particular project's design of service. Only four of the eight projects which sought to demonstrate a service or training program, however, actually utilized more than one satellite site. Because of this, every effort was made to select the widest variety of demonstration sites. Selection of these demonstration sites was made with the assistance of various project directors.

The 10 States included in the case studies of LSCA III were chosen using a systematic random selection procedure designed to provide representation of the various regions of the United States. After selection of the 10 States, one LSCA III project (defined as a library cooperative or networking project designated by the State Library Agency to receive some or all of a Fiscal Year 1976 LSCA III grant) from each State was selected. The States and projects selected for LSCA III case studies are shown in Table 3.2.

For each of the LSCA III projects selected, as many as nine libraries participating in the project and eight nonparticipating libraries were selected for site visits. These member and nonmember libraries were identified by personnel at the State Library Agency and/or by personnel at the project headquarters. The primary criteria for selection were that the following types and number of libraries be represented for each project:

TABLE 3.1: SUMMARY CHARACTERISTICS OF HEA II-B LIBRARY RESEARCH AND DEMONSTRATION CASE STUDY PROJECTS

	Project Name	Subject Category	Funding Level[1]	Number of Years Funded Since 1971
1.	Philadelphia Student Library Resources Project (Philadelphia School District)	Community Resources	High ($1,200,000)	4 years
2.	Interrelating of Library and Basic Education Services for Disadvantaged Adults (Morehead State University)	Community Resources	High ($625,000)	3 years
3.	Neighborhood Information Center Project (Cleveland Public Library)	Community Resources	High ($875,000)	3 years
4.	Development of a Computerized Regional Shared Cataloging System (Ohio College Library Center)	Networking	High ($125,000)	1 year
5.	Demonstration and Evaluation of Effects of Incentives on Resource Sharing Using NELINET (New England Library Board)	Networking	Low ($76,000)	1 year
6.	Relationship of Social Participation to Use of Media Among Mexican-American Urban Poor (University of Wisconsin)	Special Target Populations	Low ($18,000)	1 year
7.	Minority Program Development for Libraries and Learning Resources (Florida State University)	Special Target Populations	High ($116,000)	1 year
8.	Development of Strategies to Deal with the Information Needs of Urban Residents (University of Washington)	Special Target Populations	High ($206,000)	3 years
9.	Library School Education Program Without Walls (University of Southern California)	Training and Education	High ($155,000)	3 years
10.	Development of a Model Interdisciplinary Education Curriculum for Librarians (Metropolitan Washington Council of Governments)	Training and Education	Low ($34,000)	1 year
11.	Study for Design of an Optimal System for[2] Mail Order Book Delivery (Washington State Library Agency)	Mail Order Delivery	Low ($7,500)	1 year
12.	Study and Development of Automated[2] Instructional Materials Handling Program (Los Angeles United School District)	School Media Center	High ($280,000)	3 years

[1] Funding figures are approximate, due to rounding.

[2] These projects represent 10 such projects that do not logically fit into the more general program categories.

TABLE 3.2: SUMMARY CHARACTERISTICS OF LSCA III CASE STUDY SITES

	State	Project Name	LSCA III Funding in Fiscal Year 1976	Other Funds Received in Fiscal Year 1976	Total Funding
1.	Alaska	Network Resource Sharing-Health Sciences Project	$41,790	$ 41,790	$ 83,580
2.	California	Cooperative Information Network (CIN)	15,000	271,399	286,399
3.	Minnesota	Minnesota Interlibrary Telecommunications Exhange (MINITEX)	48,664	461,070	509,734
4.	Mississippi	Statewide Telephone and Teletype Reference Service	45,160	165,118	210,278
5.	New Hampshire	New Hampshire Statewide Teletype Network	6,051	14,200	20,251
6.	New York	New York Interlibrary Loan Program (NYSILL)	79,000	284,307	363,307
7.	North Dakota	North Dakota Network for Knowledge	41,414	14,514	55,928
8.	Rhode Island	Statewide Processing Center	42,000	59,000[1]	101,000
9.	Texas[2]	1) Inter University Council of North Texas Microfilm Catalog Project 2) Statewide Publicity Program for Texas Major Resources Systems 3) Membership in the SWLA/CELS Project[3]	61,344	3,791,613	3,852,952
10.	Virginia	Virginia Interlibrary Communication	18,235	14,009	32,244

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[1] This figure does not include income derived from processing and NELINET membership fees.

[2] The Texas State Library Agency maintains that these 3 activities constitute a single project. Other funds used to support LSCA III projects probably represent the State Library Agencies total annual budget.

[3] South West Library Association's Continuing Education for Librarians

- Public libraries--three member and three nonmember libraries;
- Academic libraries--three member and three nonmember libraries;
- Special libraries--two member and one nonmember library; and
- School libraries--one member and one nonmember library.

Selection of these various kinds of libraries was dependent upon the types of libraries belonging to the project. In a number of States, all libraries in the State are considered members of the project; in other States, school libraries are excluded from membership. In all instances, every effort was made to select a variety of libraries representing factors affecting library services. For example, in one Southwestern State with a large Hispanic population, libraries where Spanish-speaking patrons constitute a sizeable portion of the user population were visited. In another State which has both highly urbanized and very rural areas, libraries from both types of areas were selected. An average of 12 libraries were selected and visited or called in each State.

3.3: DATA COLLECTION

The data collection processes employed in this study fall into four categories: interviews with Federal policymakers and administrators; review of program records and files; mail and telephone surveys; and case studies. Records and files maintained by both the HEA II-B Library Research and Demonstration and LSCA III Programs were subjected to a comprehensive review to determine their utility as a source of data and also to extract a common set of data on each of the projects.

Surveys were begun during July of 1977 and completed over a three-month period. The telephone surveys of HEA II-B Library Research and Demonstration Project Directors, members of the grant Application Review Panel, and research and demonstration peers were conducted by members of the project staff. Rather extensive tracking and follow-up procedures were necessary in order to produce completed interviews. Of the many diverse respondent groups, Project Directors were the most difficult to interview.[1]

The response rates for the HEA II-B Library Research and Demonstration respondent groups were the following:

- Directors of HEA II-B Library Research and Demonstration projects--94 percent (71 of 75 persons);
- Members of the grant Application Review Panel--95.7 percent (45 of 47 persons); and
- Research and Demonstration Peers--100 percent (41 out of 41).

Of the two LSCA III mail surveys, the following rates of response were obtained:

- Survey of State Librarians--100 percent (56); and
- Survey of LSCA III Projects--97.3 percent or 109 of 112 projects responding.

The response rates to surveys for both components of the study are more than adequate to insure that no significant source of data has been overlooked in the analysis. The results and findings of this study are, to the highest degree possible, representative of the full range of States, HEA II-B Library Research and Demonstration projects and LSCA III projects.

Another component of the data collection process included case studies of 1) HEA II-B Library Research and Demonstration projects, and 2) LSCA III at the State and project levels. The case studies were conducted by senior project staff and/or persons with advanced training and experience in the library and information sciences. Intensive training and evaluation of these persons were provided prior to entry into the field.

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[1] As is often the case, these respondents tended to fall into two groups, the many who are interested and cooperative and the few who fail to see the value of the study and/or are reluctant to cooperate. Within this latter group a frequent opinion expressed by respondents was that "they [USOE] didn't help us, so why should I help them now." This opinion is a direct outgrowth of frustrations in attempting to obtain greater funding and the administrative restrictions affecting the Program's monitoring capacity.

The average case study of an HEA II-B Library Research and Demonstration Project required three days to complete. For the most part interviews were conducted with the Project Director and key staff. If the project used demonstration sites, administrators of those sites were interviewed. Where possible, interviews were conducted with representatives of the sponsoring agency and other persons who played a significant part in the project.

Each LSCA III case study required an average of eight days to complete. The following persons were interviewed:

- State Librarian;
- LSCA III Coordinator at the State Library Agency;
- LSCA III Project Directors;
- LSCA III project technical staff; and
- Administrators of member and nonmember libraries.

Where possible, patrons and users familiar with the project were also interviewed. In addition, it was not unusual for the person conducting the case study to interview other persons on the State Library Agency and project staffs. The structured interviews, along with extensive notes and documents obtained onsite, were used to prepare the case study reports presented in Volume II.

The completed forms, notes, and documents collected during the visit were used by the personnel responsible for the site visit to prepare each case study report. This document was then subjected to intensive review and revision by the authors of this report.

3.4: ANALYSIS OF SURVEY DATA

Following the collection of data, all survey forms to be included in the computerized data base underwent intensive editing by project staff to minimize item nonresponse and to resolve any existing response errors. These forms were keypunched (with verification), entered into a computer data base, and subjected to a second edit prior to analysis. The forms used to build the data base for each study component are the following:

- HEA II-B Library Research and Demonstration Program--the telephone survey forms used to interview Project Directors, members of the Application Review Panel, and Research and Demonstration Peers, and
- LSCA III--the mail survey forms sent to State Librarians and to directors of LSCA III projects funded in Fiscal Year 1976.

The general approach used to tabulate the data consisted of constructing univariate and bivariate tables, using the Statistical Package for the Social Sciences (SPSS-Version 7.0). In most instances the technique used to examine the tables consisted of examining and comparing a wide variety of response distributions, isolating patterns, and reporting those which provide important insights into each Program. Statistical tests appropriate to nominal data were computed in all instances.[1] These tests failed to show significant relationships ($\alpha > .05$) between and among variables which were the foci of the analysis. The absence of statistically significant relationships between variables does not weaken the findings of the study. Differences in percentage distributions are subject to only minimal error in interpretation due in most instances to variations in item response rates. Variations in these distributions reflect actual characteristics of the various populations being studied.

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[1] Statistical tests used include: Phi, symetric and asymetric Lambda, contingency coefficients, and epsilon. If the reader is unfamiliar with these tests, Chapter 7 of Loether and McTavish's. Descriptive Statistics for Sociologists, Allyn and Bacon, Inc., Boston, 1974, presents an excellent discussion.

PART 2

HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM: AN ANALYSIS OF PROGRAM IMPACT, OPERATIONS, AND POLICY

4

HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM: BACKGROUND AND SETTING

Stage 1 of the model presented in Chapter 2 is the experimentation and innovation stage where new ideas and new questions are explored, often for the first time. The activities of Stage 1 are many, and are of necessity varied--from research on patron characteristics to exploring the application of sophisticated hardware to library services, record keeping, and administration. Several sources of funding for these activities are available, but of them, the HEA II-B Library Research and Demonstration Program of the U.S. Office of Education is unique in its freedom and willingness to fund projects in all areas of the library and information field.

This chapter provides a review of HEA II-B as the major source of the state-of-the-art in library research and demonstration. This is followed by a brief overview of the HEA II-B Library Research and Demonstration Program and its legislative history to guide the discussions about different aspects of the Program in the other chapters.

4.1: THE STATE-OF-THE-ART IN LIBRARY RESEARCH AND DEMONSTRATION

An extensive literature review was conducted for this evaluation for three major reasons: 1) to acquire the base of knowledge necessary for the design of the study; 2) to assure familiarization with the projects to be visited; and 3) to contribute to the conclusions regarding Program efficacy and impact.[1] This task proved to be more difficult for the HEA II-B Library Research and Demonstration Program than for LSCA III, because for the former there are no previous evaluations of this Program, and the Program does not represent a single field of inquiry. Rather, the HEA II-B Library Research and Demonstration Program can itself be viewed as the state-of-the-art of research and demonstrations, since, as noted in Chapter 2, this Program is the major funder of Stage 1 research in the library field. An exhaustive search was conducted, and turned up little information on research and demonstration activities as a whole. Some general statements can be made about the Program, however.

Interagency cooperation has been one of the major thrusts of the HEA II-B Library Research and Demonstration Program and appears in projects dealing with neighborhood information centers, specific target groups, and community learning centers. The Minimum Standards for Public Library Systems, 1966 states that the planning for public library services should not occur in isolation but should consider services offered elsewhere in the community.[2] A 1973 study identified the emergence of formalized interagency relationships as a relatively recent occurrence.[1]

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[1] Procedures for identifying the literature relevant to the study were developed and initiated at the onset of the study and continued throughout its course to insure comprehensive coverage. In addition to a computerized search of the ERIC file and searches of other indexes such as Library Literature, we requested the assistance of members of the Advisory Panel in identifying the latest relevant publications in the area. (See Appendix D.) For articles not yet covered by the indexing services, we scanned recent issues of journals such as Advanced Technology/Libraries, American Libraries, Journal of Library Automation, and Library Journal. We also scanned newsletters of various computerized library networks.

[2] American Library Association, Public Library Association, Minimum Standards for Public Library Systems, 1966, Chicago, American Library Association, 1967, p. 27.

This interagency cooperative approach is related to the network concept discussed in Part 3. The difference is that interagency cooperation emphasizes linking institutions at the level of the local community rather than county, State, or multistate levels. Its goal is to involve the community in assesing knowledge needs, determining requirements, and establishing policy to direct is own educational program.[2] Networking, as discussed in Chapter 8, focuses on sharing bibliographical information and materials. The National Program's ultimate goal is to provide service to the user. Interagency cooperation at the community level focuses on the user in his/her community and on existing resources that are present but not always acceptable.

An assessment of the HEA II-B Library Research and Demonstration projects based on the state-of-the-art analysis of library research and demonstration is difficult because of the Program's vast range and the limited amount of funds available for projects. However, in those areas identified as major thrusts of the Program--community learning centers, neighborhood information centers, interagency cooperation focusing on specific target groups--the HEA II-B Library Research and Demonstration Program is the major, if not the only, national discretionary source of funds available for research and demonstration, and is unique among funding agencies for the scope of its activities.

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[1] Jean B. Wellish, Ruth J. Patrick, Donald V. Black, and Carlos A. Cuadra, The Public Library and Federal Policy, Westport, Connecticut, Greenwood Press, 1974.

[2] Redmond Kathleen Molz, "Past and Present Efforts at Coordination of Library Services at the Community Level," in Guy Harrison, ed., Total Community Library Service, Report of a Conference Sponsored by the Joint Committee of the American Library Association and the National Education Association, Chicago, American Library Association, 1973.

The Role of the Program Among Funding Agencies for Library Research and Demonstration

Projects funded by this Program cover a broad range of subject matter, techniques, and approaches. Other projects are much more limited in their areas of interest. To better understand the context in which this Program operates, a brief summary of the other major grant programs funding research and demonstrations is given.[1]

The National Endowment for the Humanities is an independent, Federal grant-making agency that supports projects and fellowships in research, education, and public activity in the humanities. Programs specifically oriented toward the library and information sciences include:

- Fellowship support for research libraries to support resident scholars in the humanities;
- Support for Centers of Research which assist major research collections in organizing, cataloging, microfilming, indexing, preparing published guides, and otherwise making more accessible their collections of materials (recently this has included interface with computer networks in making bibliographic information available);
- Library projects in colleges which encourage use and cooperation among faculty, students, and their libraries;
- Projects to explore new ways of making the humanities increasingly available to the adult public; and
- Projects to develop and test new applications of humanistic knowledge or new ways of disseminating this information.

The National Science Foundation supports research, development, demonstrations, and policy analyses to improve access to scientific and technical information and to increase effective use of this information. This includes research into information science and its problems, new theoretical bases for communication systems, performance measures for systems, and applications of new technologies. Research into user requirements, access improvement, management studies, and coordination is also supported.

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[1] This discussion is based primarily upon summaries of these programs presented in the Bowker Annual of Library and Book Trade Information, 22nd Edition; Nora Beth Glick and Sarah L. Prakken, eds; New York: R. R. Bowker Company, sponsored by the Council of National Library Associations, 1977.

The Council on Library Resources is concerned with the solution of the problems of libraries, particularly academic and research libraries, and is supported by the Ford Foundation. The Council restricts its grants (because of limited resources) to support of projects that will help improve the services and operations of libraries rather than local development and building. The target areas for Council supported projects are: automation and national library services, professional development, libraries and their users, library management, preservation, micrographics, and international library cooperation. Automation and national library services, including networking or standardization, have received 45 percent of the Council's funds over the past five years. Other programs have included professional development (with support for management interns, researchers, and advanced study scholars); a College Library Program; and a program in library management which focuses on university libraries.

In addition to the Programs discussed above, 96 private foundations reported making 333 grants of $5,000 or more to libraries in 1975 and 1976. These tended to be small foundations, oriented toward local issues and programs. Colleges and universities were the leading recipients of such grants. Public libraries, special libraries, non-profit organizations, and library associations were also frequent recipients. The largest number of grants were for general support, with special projects second in frequency, and buildings and equipment third. Evaluations/studies, computer projects, and information centers were supported, but relatively infrequently. These programs are rarely coordinated with one another, although separate grants from one agency may be related.

In addition to these programs of funding assistance, the Library of Congress, although not a funding agency, is engaged in a great deal of developmental activity, such as the MARC II computer-assisted cataloging system, and many other innovations which have been adopted into the national library system. For example, many of the automated networks (OCLC, BALLOTS, WLN) use MARC II tapes developed and distributed by the Library of Congress.

Combined, these private and Federal programs fund a fairly comprehensive set of library and information related projects, but none of the Programs individually fund more than one or two of the areas covered by the HEA II-B Library Research and Demonstration Program. Few of these programs are oriented towards community resources and target groups, major priorities of the HEA II-B Program under consideration here. Where such projects are funded, they do not represent the major focus of the specific grant process. For this reason, then, the HEA II-B Library Research and Demonstration Program is indeed unique. In the sections which follow, the Program's operations and legislative history are examined in detail.

4.2: OVERVIEW OF THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM

The HEA II-B Library Research and Demonstration Program is authorized by the Higher Education Act (HEA) (P.L. 89-329, P.L. 92-318) Title II-B: Training and Research and Demonstrations. The purpose of the Program is to make grants and contracts for research and demonstration projects relating to the improvement of libraries, library services, or the development of training procedures for library personnel. The Program is nationwide in scope, serving as one of the primary Federal programs for research and demonstration in librarianship. It is unique in its ability to fund research and demonstrations for all types of libraries and all subject areas related to librarianship. It does not support library training programs.

This Program has been operational since 1965, and has remained virtually unchanged legislatively, except for minor changes in allocation procedures. The U.S. Commissioner of Education has discretion over the granting of Program funds. The Program is administered by the U.S. Office of Education, with responsibility for its management in the Office of Libraries and Learning Resources. During the Program's first years of operation an Advisory Committee consulted with the Commissioner on matters of general policy regarding directions in research and demonstration. Current USOE policy has led to the elimination of such committees in recent years.

One major Program change occurred in 1971-1972. Prior to this time, the Program had emphasized a broad range of research and demonstration topic areas. Congress established the National Institute of Education (NIE) in 1972 as a means of providing "leadership in the conduct and support of scientific inquiring into the education process." In an effort to forestall the possibility that the HEA II-B Library Research and Demonstration Program might be transferred to NIE from what was then the Bureau of Libraries and Learning Resources, it was decided to refocus the Program. This new focus concentrated on the funding of demonstrations aimed at meeting the information needs of special target groups (older persons, ethnic groups, institutionalized persons); developing model information services; and developing community learning centers. In 1974, the Congress mandated that all library programs be administered by a single office. At this time, the Office of Libraries and Learning Resources was established.

The goal of the HEA II-B Library Research and Demonstration Program is to support research and demonstrations in a variety of areas including using existing resources to improve library services, developing new library resources and services, developing new technologies, and designing special and/or relevant training programs. To meet this goal, funds are awarded to a variety of research and demonstration projects involved in one or more of the above areas with specific emphasis; in the last few years, on special target populations. In order to do this, the Library

Research and Demonstration Program receives one-third of the monies appropriated for Title II-B of HEA[1/] while the Training Program receives the other two-thirds. The funding levels of the HEA II-B Library Research and Demonstration Program for Fiscal Years 1971 through 1977 are presented in Table 4.1. Two facts are evident. First, the Program has been substantially underfunded. Second, since 1974, the Administration has requested that funds not be appropriated, yet the Congress has repeatedly appropriated funds. While there is no single reason for the direction taken by the Administration, there are a number of factors that provide some clarification. Library programs within USOE have consistently received low priority. Also, the library programs do not fall within the mainstream of USOE's mandated objectives. Congressional appropriations for the Program in spite of Administration requests appear to be the result of professional support for the Program.

Funds are distributed in two ways. A small number of contracts are funded in areas identified by the Program's staff. However, the majority of funds are distributed through grants using a panel review process. Proposals are solicited annually and an average of 100-150 responses are received. As Table 4.2 indicates, the numbers of proposals and total funds requested are vastly greater than the Program can support. These applications are made under USOE grant procurement rules and regulations which are observed by the Program. Once received, the applications are distributed to members of an Application Review Panel (ARP).

The Program strives to assure that the results of each project are of high quality and are available, not only within the project's sponsoring agency and community, but to other, similar agencies and

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[1/] Of the funds appropriated for HEA Title II, 70 percent is available for the purposes of Part A - College Library Resources, and 30 percent for Part B - Training and Research.

TABLE 4.1: SUMMARY OF FUNDING OF THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM: FISCAL YEAR 1971 THROUGH FISCAL YEAR 1977 (in millions)[1]

Fiscal Year	Congressional Authorization[2]	Administration Budget Request	Appropriation	Cumulative Total
FY 1971	$12.5	$2.28	$2.17	$ 2.17
FY 1972	3.87	2.28	2.75	4.92
FY 1973	7.49	2.00	1.79	6.71
FY 1974	8.49	0.00	1.43	8.14
FY 1975	9.99	0.00	1.00	9.14
FY 1976	10.00	0.00	1.00	10.14
FY 1977	10.99	0.00	1.00	11.14

SOURCE: USOE records

[1] Figures have been rounded to the nearest $10,000.

[2] Figures are estimates based on the funding formula presented in the enabling legislation. The Congress has not observed this formula and has considered appropriations for the various HEA library programs separately.

TABLE 4.2: NUMBER OF PROPOSALS RECEIVED VERSUS THE NUMBER OF GRANTS AWARDED BY YEAR (1971-1976)

Funding Year	Number of Proposals Received	Total Amount of Funds Requested (In Millions)	Total Authorized Funds (In Millions)	Number of Grants Awarded[1/]
1971	*	*	$2.17	18
1972	*	*	$2.75	35
1973	109	$7.11	$1.78	24
1974	103	$8.92	$1.43	20
1975	187	$13.98	$1.00	19
1976	144	$11.22	$1.00	19

[1/] Includes continued projects.

* Data not available.

communities. In order to accomplish this second goal, proposed projects are evaluated according to several criteria, including:

- Significance, impact, and relevance;
- Problem and needs assessment;
- Statement of objectives;
- Activities and scheduling;
- Resources and resource management;
- Evaluation;
- Dissemination; and
- Continuity/replication potential of the project.

A continuation application for multiyear funding is further evaluated on the basis of:

- Project results; and
- Extent of replicability or adoption by others.

During the years 1971-1976 the USOE Program staff had some discretion in awarding grants based on the ARP scoring, so that often priorities were changed slightly. For Fiscal Year 1977, however, a change in the USOE grant management regulations governing selection of grant has resulted in almost total reliance on the scores of the reviewers. Program staff no longer have responsibility for the selection of grantees. The Program staff has lost much of the discretionary responsibility they once had in monitoring grants.

Over the years, funding for the Program has diminished, Program control over the grant selection process has been reduced as a result of USOE grants-management policy, and support for Program grant management activities in USOE has lessened. These reductions have severly affected all aspects of the Program, particularly its operation and management. Technical assistance and monitoring is now accomplished informally by telephone, and formally through review of quarterly and annual reports submitted to the Program and by site visits. This latter activity is fully authorized by Program regulations as follows:

> It is frequently necessary in the course of proper post-award administrations for a representative of the Government to make one or more site visits for a variety of reasons.

However, site visits by Program staff are limited by 1) the lack of funds for travel and 2) the low staffing level of the Program.

This lack of funds has also hampered the selection of ARP members. Because only very limited funds are available for travel, USOE staff must recruit most members from the Washington, D.C. area and cannot attend conferences and conventions for the purpose of meeting prospective members from other areas. Nevertheless, an attempt is made to vary the panel as much as possible from year to year. Chapter 6 describes the current perceptions of members of the library and information community about the Program and its management.

4.3: LEGISLATIVE BACKGROUND OF THE PROGRAM

Unlike the LACA III Program discussed in Part 3, Chapter 8, the legislative history of the HEA II-B Library Research and Demonstration Program is straightforward, almost uneventful. Congress recognized the role that research and demonstration plays in the improvement of library services and moved to approve the legislation quickly.

Prior to 1965, the total Federal involvement in library research and demonstration was small (less than $500,000) and split among many agencies. For example, schools of library science were not receiving sufficient funds for research. Of the eight schools offering doctoral programs in 1964, only four had research programs in excess of $5,000. Since being signed into law, Congressional support for the Program has been strong, despite consistent efforts by the

Nixon and Ford Administrations (and most recently the Carter Administration) to end Federal support by introducing alternative legislation and/or requesting zero funding.[1]

The mandate of HEA II-B Library Research and Demonstration--the legislative authority to conduct research and demonstrations relating to libraries and the training of library personnel--is very broad. All types of institutions can apply for funds to conduct research and demonstrations in any aspect of librarianship. Priorities for funding projects are determined by Program officers in accordance with Office of Education priorities. The Program, as it is presently administered, is congruent with a Federal government role that provides funds for exemplary and innovative developments with particular attention on minority and other special target populations rather than for direct support of services and construction. The Congress justified the inclusion of research and demonstration in Title II on the basis that research and demonstration are essential to the improvement of library training programs and library service in the nation. This goal is broad and ongoing. It is difficult to imagine that the need for library research and demonstration will cease. Chapter 5 of this report indicates the extent to which the legislative intent for HEA II-B Library Research and Demonstration has been met.

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[1] A complete legislative history of the Program is presented in Appendix B along with the most recent legislation.

5

HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM: IMPACT

The HEA II-B Library Research and Demonstration Program has had a definite, although difficult to measure, impact on the library and information community in this country. Its effect stems both from the individual outcomes of each of the projects it funds and the cumulative results of the Program in terms of the achievement of Program goals. This chapter presents an assessment of the Program in terms of its goals and criteria, and summarizes the findings from a review of available data vis-a-vis the impact of the individual projects funded by the Program.

5.1: THE ACCOMPLISHMENT OF PROGRAM GOALS

The Program's goal is to support research and demonstrations which are investigating ways to improve the delivery of library and information services in this country. This section assesses Program accomplishments in supporting research and demonstrations during the years 1971-1976, in a variety of subject areas corresponding to Program priorities during this period. These areas have been listed previously in Chapter 4.

The survey yielded two sets of data addressing Program accomplishments. First, an assessment was made of the kinds of projects that have been funded and how well the Program has covered areas defined by the Program. Second, the survey respondents who reacted to the Program rated it in terms of its relative success in each area. The findings are presented below.

Content Coverage

For the purposes of this analysis, projects were classified according to five broad content areas that corresponded with Program objectives and enabled projects to be categorized with minimal duplication (see Chapter 4). During the period of 1971-1976, the USOE priority for this Program was to fund projects in the areas of community resources and special target groups. In this period, a total of 131 grants were awarded for 75 separate projects, 33 of which were multiyear projects which received several grants. Tables 5.1, 5.2, 5.3, and 5.4 illustrate the distribution of these projects in terms of their content coverage, year of funding, sponsoring institutions, and whether they were funded for one or more years. A full listing of these projects is provided in Appendix G.

The category of community resources refers to those projects emphasizing activities that bring together the total information, educational, and cultural resources of communities and organizations into new and effective patterns of service. The projects in this group can be subclassified into three groups: community learning centers, interagency cooperation, and neighborhood information centers. Thirteen projects were funded in the area of community resources, eight of which were multiyear projects.

Community learning center projects investigated different approaches to using these centers for nontraditional education, remedial learning, or adult basic education. For example, one project examined nontraditional study. It was aimed at enhancing the role of public libraries as community learning centers by improving public library educational services provided to adult learners engaged in individualized independent learning activities. Demonstrating the role libraries can play in interagency approaches to adult basic education was an important activity for those projects subclassified as interagency cooperation projects. One interagency-sponsored project involved public, parochial, and private schools and the public library in an approach to alternative education for

TABLE 5.1: HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROJECTS BY CONTENT AREA AND SPONSORING INSTITUTION

	Content Area					
	Community Resources	Net-Working	Target Groups	Training	Other	Total
State library	1	3	2	-	1	6
University/library school	3	4	13	9	4	31
Two-year institution	2	-	-	-	-	2
Public library	3	1	3	1	-	8
School district	1	-	-	-	1	2
Private organization - for profit	-	1	1	-	1	3
Private organization - not for profit	3	7	9	1	2	22
Federal government	-	-	-	-	1	1
Total	13	13	28	11	10	75

TABLE 5.2: HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROJECTS IN EACH CATEGORY BY THE YEAR FUNDED[1]

	Content Area					
Year	Community Resources	Networking	Special Target Groups	Training	Other	Total
1971	1	2	6	1	4	14
1972	9	1	7	1	3	21
1973	2	3	2	1	1	9
1974	1	1	6	3	-	11
1975	-	2	5	3	-	10
1976	-	4	2	2	2	10
Total	13	13	28	11	10	75

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[1] If a project was funded for more than one year, then the initial year is given.

TABLE 5.3: HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROJECTS BY DURATION OF FUNDING AND YEAR OF FIRST GRANT

Type of Project	Year 1971	1972	1973	1974	1975	1976	Total
Multi-year	5	11	1	6	5	3	33
Single year	9	10	8	8	5	7	42
Total	14	21	9	11	10	10	75

TABLE 5.4: HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROJECTS BY DURATION OF GRANT AND CONTENT AREA

	Content Area					
Type of Project	Community Resources	Net-Working	Special Target Groups	Training	Other	Total
Multi-year	8	5	13	5	3	33
Single year	5	8	15	6	7	42
Total	13	13	28	11	10	75

Does not include projects initially funded in Fiscal Year 1976 which subsequently received continuation funds.

inner city youth. The use of libraries to coordinate the information or referral services of several local social service agencies in neighborhoods was the focus of the third group of community resources project. An example of this was the implementation of neighborhood information centers in five public libraries in five cities.

A group of 13 projects concentrated on networking and research into new technologies and methodologies which would contribute to the development of better networking efforts. Of these projects, seven separate grants were made to a variety of agencies for research or development on different aspects of the Ohio College Library Center System (OCLC). For example, in 1971, OCLC received funds to design a computerized system for handling all cataloging and technical processing needs of higher education institutions to reduce rising library costs and indirect user costs. In 1973, funds were granted to provide OCLC services to 22 developing college libraries. In this same year, critical factors were identified in the management of change from traditional library operations to on-line technology in a network environment using OCLC cataloging support for small libraries. In 1975, OCLC received a second grant to develop an on-line interlibrary loan communication subsystem; related to this project was a 1976 study of incentives to an interlibrary communication system. Finally, in 1976 the development of a tape analysis service to analyze collection growth using OCLC archival tapes was initiated. In many respects, the Program provided indirect support for this system. Funding amounts were small in comparison to OCLC's actual costs.

By far, the largest group of projects concerned special target groups. In this category, there were 28 projects 13 of which were multi-year projects. These projects ranged from needs assessments and studies of the characteristics of special target groups to the development and demonstration of library models to serve these groups.

Most of the projects conducted needs assessments as part of their activities; for multi-year projects this usually occurred during the first year. These projects were designed to focus library and information services on special target groups who have been unserved or minimally served in the past (such as adult independent learners, black Americans, the disadvantaged, Spanish-speaking Americans, native Americans, older Americans, rural residents, and urban residents). For example, several projects, such as those developing library programs relevant to native Indian communities, were conducted to aid in the development of similar programs for other special target groups.

In the training category, 11 projects were funded, five of which were multi-year projects. For the most part, these projects undertook specialized studies to further the professional education of librarians in specific areas, or to obtain information on the library profession. Two projects dealt with training via videotape, one for use in remote areas, the other for improving library communication skills.

Finally, in the "other" category, there were 10 projects; seven one year projects and three multi-year projects. These projects included those researching advanced technological applications and several systems development projects.

The case studies provide a good indication of the wide variety of projects that the Program has supported since 1971. Each of these projects has been described briefly according to what the project sought to do and its impact:

- The Philadelphia Student Library Resources Project, a multi-year effort, had as its purpose to develop a comprehensive approach to the design and implementation of an alternative library program appropriate to inner-city neighborhoods. This was to be based on sound research, community support, involvement by representatives of major educational and library agencies, and an ongoing evaluation of impact/progress. It was difficult to assess the immediate or long-term impact of this project. Following withdrawal of support by USOE, the Philadelphia School District funded the demonstration component of the project--the Action Library--for one year. The Action Library was closed one year after Federal funds were stopped, Philadelphia School District planned to distribute the library's materials and equipment to public schools in the surrounding neighborhoods. There was no evidence that the project has been replicated in other school districts or jurisdictions despite the project's high visibility and the extensive interest shown in the project by other school districts. The project was funded at a comparably high level, and this fact may have led to the development and implementation of what might be considered by some as non-essential activities and functions. (Total HEA II-B Library Research and Demonstration Program funds provided: $1.8 million.)

- The Project to Interrelate Library and Basic Education Services for Disadvantaged Adults, a multi-year effort, developed and demonstrated alternative models which coordinated the resources of all types of libraries and ABE programs in order to upgrade the basic learning skills of rural adults. Four major problem areas were addressed: organization, personnel, programs, and materials. During its demonstration phase the project reached a large number of people: there was training at 77 sites in 10 States. There were 2,006 participants including 936 librarians from 175 libraries and 1,070 non-librarians (842 social service agencies and 228 Adult Basic Education staff, teachers and clients). Also a wide range of training materials were produced which are distributed through the American Library Association. Similar projects were initiated. The project generated a handbook called Literacy and the Nation's Libraries. The project also encouraged more effective communication between libraries and community organizations. (Total HEA II-B Library Research and Demonstration Program funds provided: $625,000.)

- The Neighborhood Information Center Project, a multi-year effort by a consortium of five major public libraries (Atlanta, Cleveland, Detroit, Houston, and Queensborough (New York)) sought to demonstrate the feasibility of using branch libraries as neighborhood information centers providing information and referral, crisis information, and other nontraditional services. One of the results of the consortium approach has been to illustrate the replication potentials of the neighborhood information concept. The final report contained a blueprint for staff structure and workshops for training. The concept has been continued at all five demonstration sites to varying degrees. There is no indication that the project has been successfully replicated in other locations. (Total HEA II-B Library Research and Demonstration funds provided: $875,000.)

- The Ohio College Library Center (OCLC) project, a one year effort was conducted to further the design of a computerized, on-line regional library system. One objective of OCLC was to serve as a node in a future national network. Replication of OCLC has proven too costly; however, the transferability of OCLC's developments has been achieved successfully by the establishment of Satellite library networks. OCLC's impact has been marked. In 1977, over 1,000 libraries across the nation participated in the OCLC on-line system. Because OCLC provides access through intermediary networks, it has stimulated the development of State and multistate networks that work on additional aspects of sharing library and information resources. The OCLC system has reduced the unit cost of cataloging. By providing on-line union catalog information, it has reduced the cost of interlibrary loan. In addition, libraries use the OCLC system for pre-order searching. They also use public service terminals to verify and compile bibliographies and to check for currently received materials. (Total HEA II-B Library and Demonstration funds provided: $125,000.)

- The Demonstrations and Evaluation of Effects of Incentives on Research Sharing Using NELINET, a multi-year effort, studied the problem of developing incentives to encourage large, net-lending libraries to share materials with smaller libraries belonging to NELINET. A mathematical model has been developed of an interlibrary loan system which provides incentive for load-leveling--equalizing the load of interlibrary loan. Because the model has not yet been implemented or fully tested it was not able to assess its full impact of the project. However, the project did receive HEA II-B Library Research and Demonstration Program funds in 1977 to implement the model. Also, the project has made an extensive effort to key interested organizations appraised of its developments. (Total HEA II-B Library Research and Demonstration Program funds provided: $76,000.)

- The Latino Communications Project, a one year project, was conducted to study the relationship of aspects of Mexican-American participation in voluntary associations to the use by this population of various media for both information gathering and personal satisfaction. This research was intended to provide a knowledge base for the development of library services for the Latino groups toward the traditional mass media and information resources in the Chicago area. The potential uses of these data extend to many different aspects of information and communications services, and also provide a valuable contribution to the analysis of Latino community needs. A wide variety of Latino and non-Latino groups have requested the data to gather further knowledge about Latino attitudes. One of the major accomplishments of the project may be the development of a Latino data bank combining these research data with the data of other Latino-oriented projects or studies. (Total HEA II-B Library Research and Demonstration funds provided: $18,000.)

- The Minority Program Development for Libraries and Learning Resources Project (Minority Program Development Project) was funded for one year to give concrete assistance to a systematic program development for libraries and resource centers for minority constituents. The project resulted in three products: an index to bibliographic holdings in the content area; a design of a national network for Black materials; and the sponsorship of attendance at workshops and conferences. This project helped to bring about an awareness of the urgency of the need for the organization and dissemination of resources for minority groups. Because of legal problems surrounding the award of the grant, little or no dissemination of results has been effected. (Total HEA II-B Library Research and Demonstration funds provided: $16,000.)

- The Development of Strategies for Dealing with the Information Needs of Urban Residents Project (Urban Information Needs Project), a multi-year effort, was designed to study human services delivery in urban areas and determine needs, assess current delivery patterns, and design training programs which would help practitioners improve their delivery of services. Because of their present role as information centers as well as their tendency to be located close to their clientele, libraries seemed to the investigators to be the "logical context" for such a study. Project staff plan to disseminate information about the project and perhaps conduct some training based on the research findings. The project final report contains the actual training modules which were designed to incorporate the results of the research phases of the project. There is no indication that the results of the study have yet been successfully implemented either locally or in other settings. (Total HEA II-B Library Research and Demonstration funds provided: $206,000.)

- The Library School Education Program Without Walls, a multi-year effort, was designed to offer an opportunity for independent, self-paced study toward a goal of a Master of Science degree in Library Science and Information Technology. It was aimed at persons who, because of heavy financial and family obligations, job responsibilities, or personal reasons, were unable to attend classes in the traditional, scheduled formal on-campus study. There were administrative requirements and other obstacles which seemed to limit the project in achieving its objectives. For example, the University required that the courses be included in the regular academic calendar. In addition, it was hoped that curriculum materials which had been prepared for the courses could be duplicated and distributed to off-campus locations such as other universities and public libraries. This would have provided easier access to students who lived at some distance from the Library School. The ability to launch such a program would have also provided the basis for assessing the replicability of the project. However, the off-campus program was not begun, largely because of the lack of appropriate media technical assistance and the fact that materials were only available at the Library School library. There is no indication that materials developed in this study have been used in other settings. (Total HEA II-B Library Research and Demonstration funds provided: $155,000.)

- The Project to Develop and Demonstrate Model Interdisciplinary Education Curriculum for Librarians was a one year effort and sought to design and test training programs which would provide librarians with skills to improve administrative and interagency cooperation practice. Workshops were developed and provided to librarians. The resulting model program was continued on a full scale basis as an ongoing self-supporting program. There is no indication that the project results have been replicated elsewhere. (Total HEA II-B Library Research and Demonstration funds provided: $34,000.)

- The Study to Design an Optimal System for Mail Order Book Delivery, a one year effort by Washington State Library Agency, evaluated existing mail order operations among its libraries and designed a statewide mail order delivery system. The State Library Agency was interested in learning what resources would be required to expand the successful operation of three local systems to other regions of the State in a statewide mail order system. At the time of project initiation, there was a realistic expectation that such a system would be implemented. The final report presented a mathematical simulation model of this mail order system. Because of subsequent budget cuts in the State, the system was never implemented, nor was it disseminated widely thought it is available upon request. However, when a new local library system was set up at the Fort Vancouver Regional Library in Washington, many of the principles learned from the study were implemented in the startup phases. (Total HEA II-B Library Research and Demonstration funds provided: $7,500.)

- Project AIMS (Automated Instructional Materials) was a multi-year effort by the Los Angeles City Unified School District (LACUSD) to develop an efficient, effective, and non-redundant means for managing, evaluating, and using instructional materials that would satisfy users of these materials and bring order to the management process. The system was to be planned and designed in such a way that it could, with minor alterations, be readily adapted for use in any school district in the United States. The system was to serve both as a model and a prototype of systems for school districts throughout the nation. The end-products of AIMS include an overall systems design and computer programs to support ordering of materials and accounting operations. The end-product was never implemented locally nor has it been replicated in other school systems. Reasons for non-implementation were: uncertain and insufficient funding and lack of thorough and fairly long-term, cost-benefit studies that could prove the system's worth. (Total HEA II-B Library Research and Demonstration funds provided: $280,000.)

This description of projects indicates that the Program has indeed covered its intended content areas. The priority for target groups and community resources projects is clear, both by the number of separate projects funded, and by the number of projects in both categories which were funded for more than one year.

Program Success in Meeting its Objectives

The reactions of the three survey respondent groups to the success of the Program in meeting its objectives corroborate the findings above. In general, Project Directors, ARP members, and R&D Peers felt that the Program was fairly successful in meeting its objectives. Table 5.5 shows the average ratings given each objective area by each respondent group.

As can be seen in the table, the R&D Peers were less positive about the success of the Program than the other respondents. This less positive attitude was a consistent pattern in each comparison of the three groups. To some extent this stems from a lower level of knowledge about the Program, and a certain distance from it. The distance may cause a more objective view, and it may cause a more negative view. The Peers were not current participants in the Program. ARP members, on the other hand, were more favorably inclined, probably because their perceptions were based on proposed accomplishments (in the grant applications they review) and they may be unfamiliar with problems encountered by projects after the award was made.

Project Directors were the most positive, possibly indicating some bias. However, the Project Directors were the most negative of any group in reacting to the accomplishments of the Program in the area of developing more efficient uses of resources to fulfill user needs. This objective and the training objective were rated the lowest overall. Conducting needs assessments and developing complex technological systems were rated particularly low by the R&D Peers. In contrast, the Project Directors felt that the Program was strongest in the area of technology. All groups rated the objective of developing service patterns as being successfully met.

TABLE 5.5: DEGREE TO WHICH RESPONDENTS FELT THE PROGRAM HAD MET ITS PROGRAM OBJECTIVE AREAS: AVERAGE RATINGS

	Respondent Group			
Program Areas	Project Directors	R&D Peers	Application Review Panel	Overall Average
Conducting needs assessments	2.4[1]	2.9	2.4	2.6
Development of innovative service patterns using existing resources	2.3	2.8	2.3	2.4
Developing service patterns responsive to the needs of special target populations	2.3	2.5	2.4	2.4
Developing more efficient uses of resources to fulfill user needs	3.2	3.0	2.6	3.0
Developing new technologies or new applications of existing ones	2.2	3.0	2.4	2.5
Designing training programs	2.5	3.0	2.7	2.7

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[1] Rating is the average score given by each respondent group. The score is based on five-point scale, where 1 = highly successful, 5 = highly unsuccessful.

While the respondents were inclined to rate the Program as somewhat successful, the ratings were generally not overwhelmingly positive. The respondents indicated that the Project objectives were met, but did not appear to be particularly impressed by the accomplishments of the Program in any of the objective areas. One factor which may explain this is the very low level of dissemination of project results attempted by the Program.

5.2: ANALYSIS OF THE PROGRAM IN TERMS OF ITS OWN REQUIREMENTS

The procedure that the Program uses to ensure the quality of the projects it funds is to set up certain criteria for the evaluation of proposals during the selection process. These criteria were discussed in detail in Chapter 4. The present evaluation was not designed to assess the quality of projects, but rather the effectiveness of the Program. Therefore, we have not addressed the issues of the significance or importance of project objectives, the quality of objectives, or the management of the project. Four of the proposal selection criteria were readily measurable and shed light on how well the Program as a whole meets its own requirements. These four variables were: evaluation, dissemination, replication, and continutation of the projects. They are discussed below.

Evaluation

Despite the requirement that an evaluation plan be included in proposals, 46 of the 131 proposals[1] selected for funding in the analysis period did not include such plans. However, the inclusion of evaluation plans has increased for each year, so that in 1976 only 3 of 19 funded proposals did not have such plans, while in 1971 10 of 16 proposals did not have such a plan. Respondents reported that evaluation was quite valuable. Overall, about 30 percent of the projects reported several changes as a result of evaluations, with projects that had changed their objectives making the mose use of evaluation results.

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[1] Analysis was based on the proposals funded (131) rather than the number of separate projects (75).

Dissemination

The potential role of dissemination in the success of the projects funded by the HEA II-B Library Research and Demonstration Program was recognized by almost all respondents, particularly the Project Directors. However, even though the Project Directors attempted dissemination for their own projects--and often succeeded--most respondents felt that dissemination was an area that the Program needed to improve. As can be seen from Table 5.6, the number of products available for dissemination by the projects upon completion averaged two products for each project (based on 75 projects). *Thus, it cannot be said that dissemination has not been successful at the project levels; projects have attempted to disseminate as much as possible within their limited abilities. However, it was the consensus of respondents (68 percent) that dissemination for the Program as a whole had not been successful. Individual, local efforts were not sufficient nor could it be expected that these efforts would propel the Stage 1 type research and demonstration into Stage 2. The failure to attain successful dissemination had several causes:*

- *Lack of funds for Program staff to actively pursue dissemination;*
- *Lack of funds for use by the project to actively pursue dissemination;*
- *Lack of a cohesive plan for such activities; and*
- *Lack of a focused Federal role that would identify objectives and target recipients for such dissemination.*

Replication

Replication procedures were established by approximately 60 percent of the projects. Of the remaining projects, several were

TABLE 5.6: FREQUENCY OF DIFFERENT TYPES OF OUTPUT FOR PROJECTS FUNDED IN THE YEARS 1971-1976 BY CONTENT AREA

	Content Area					
Type of Output	Community Resources	Networking	Special Target Groups	Training	Other	Total
Final reports	20	11	48	6	4	89[1]
Audio visual materials	2	2	5	7	3	19
Books	1	1	1	0	0	3
Articles	2	5	13	2	2	24
Procedural manuals	4	2	4	6	1	17
Total	29	21	71	21	10	152[2]

[1] Some multi-year projects may have submitted a final report for each year of the project.

[2] Many projects may have more than one type of output.

research projects, several others were not yet completed, and for the remainder, replications of their activities was not feasible--too expensive, or simply not advisable.

In the model, presented in Chapter 2, replication per se does not appear. This is because replication activities are not necessarily the most appropriate means of continuing the work of a particular innovative project. More often, projects will be adapted to a new situation, or the learnings from a research project will be integrated into other activities. In the case of OCLC, a second, similar national network would not be necessary, this replication is not appropriate. Therefore, the model presents two activities: dissemination and training. First, the findings or results of a project are publicized; then, those who wish to use the results can do so.

The Program has addressed the requirements for replication, but it was not clear whether replication should be an important criterion for selecting projects for funding; for some projects replication is not feasible, nor is it crucial to the change model.

Continuation

The conclusion drawn about continuation as a requirement for the proposal selection process is similar to that for replication: it is not appropriate to some projects. The requirement that provisions be made for continuation of a project prior to its selection for funding is often premature, and that requirement appears to be in need of revision. Continuation for those projects where it was appropriate was the least successfully accomplished activity of the proposal requirements. While no direct data were collected about the extent of continuation accomplished, the case study projects provided a limited estimation. Based upon these data, about one third of those projects which could be continued have obtained funds for continuation. While this percentage may be relatively high--other innovative research and demonstration programs may not be as successful with continuation--it is not high when it is viewed as the extent to which one criterion for project funding under this Program was met.

5.3: IMPACT OF PROJECTS FUNDED BY HEA II-B LIBRARY RESEARCH AND DEMONSTRATION ON THEIR INTENDED USERS/BENEFICIARIES

A secondary indicator of the impact of the Program is the impact of the projects it funds. Several of the case studies provide illumination as to the potential impact of individual projects and are discussed below. In addition, each of the Project Directors in the survey were asked to describe the impact their projects have had. These comments are summarized in Exhibit 5.1, and discussed in this section of the report.

Many of the projects reported an increase in the numbers of users of their services, more than had been expected. One neighborhood information center project became firmly established as a part of the public library of its city. Projects related to the Ohio College Library Center (OCLC) provide centralized bibliographic services, thus allowing the implementation of a system that is currently a major factor in the networking efforts in this country. In other spheres, new approaches to adult education, using interagency cooperation as a tool for creating an effective delivery service, were identified.

Projects that were not able to accomplish their goals have had some impact and provide information that can benefit agencies and institutions interested in the concept. While a project to develop a mail order book system was not adopted by its sponsoring State, it did result in some improvements at substate levels and the use of the systems design approach and computer technology has been extended by project staff to other situations. A great many of the projects measured their impact through increased use, reaching more users, or increasing the speed of service. Where research was conducted, the extent of use of the output and requests for information were R&D

TABLE 5.7: THE FEDERAL ROLE IN LIBRARY AND INFORMATION RESEARCH AND DEMONSTRATION: AVERAGE RATINGS[1] OF RESPONDENTS IN SELECTED AREAS

	Respondent Category			
Possible Effects of Federal Involvement	Project Directors	R&D Peers	Application Review Panel	Average
Research and demonstration projects have become responsive to critical needs	1.9	2.8	3.0	2.4
Projects that could not have been funded by State or local government agencies have been funded	1.4	2.1	1.6	1.6
Research and demonstration projects focusing on national needs are funded instead of projects responding to local needs	2.3	3.0	2.6	2.6
Duplication of research and demonstration is avoided	2.4	3.1	2.7	2.7
The results of research and demonstration projects are widely disseminated	2.9	3.5	3.5	3.2

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[1] Rating is the average score given by each respondent group. The score is based on a five-point scale, where 1 is highly successful, 5 is highly unsuccessful.

Peers. (This was a consistent trend in the data, and reasons for it were discussed earlier.) *The respondents agreed that the Program funded projects that otherwise would not have been supported, and that the Program addressed national rather than local needs. The Peers were less likely to say that the Program was responsive to critical needs, although the consensus of respondents was that this was accomplished.*

A secondary variable affecting the respondents' views of the HEA II-B Library Research and Demonstration Program was their intention to submit a grant application to the Program in the next two years. Project Directors were more inclined to apply for grants than R&D Peers, and were interested in a larger variety of research ideas encompassed in the Program's objectives. The Peers' interests were concentrated in fewer areas of the Program's emphasis. Peers were less concerned with technology and service patterns than with special target groups and training for professions, while the Project Directors were more interested in technology and service patterns.

Half of the Project Directors and one-third of the Peers were planning to submit a proposal in the next two years. Of those that were not, the reasons most often given included that they:

- Were discouraged because of lack of success [in obtaining grants in previous competitions];
- Were in a new job and were no longer in a position to apply;
- Did not do research anymore;
- Were not qualified;
- Were not sure;
- Had no ideas;
- Had used the Program's funds to get a project started, and no longer required outside support;
- Had insufficient funds to prepare a proposal: application problems;

- Felt the HEA II-B Library Research and Demonstration Program was too disorganized, too much red tape; and/or
- Did not like the award selection process.

The R&D Peers appeared to distrust the HEA II-B Library Research and Demonstration Program more so than Project Directors. This raises an important question about the image of the HEA II-B Library and Demonstration Program to outsiders and to many participants as well. A small, but consistently vocal group of respondents viewed the Program in a negative light vis-a-vis the impartiality of its selection process. Much of this "bad press" arose in the early days of the Program when a few large projects were funded for several years, and when the Program staff had the authority to override the scoring of the Application Review Panel in decisionmaking. There was some feeling that this led to unfairness in the selection process, and undue weight on personalities as a factor in that process. Since that time, as explained in Chapter 4, USOE procedures governing the grant selection process have changed significantly, and Program staff are unable to affect the selection of grants in any significant way.

This early, poor impression of the Program, coupled with the shortcomings of some major projects has harmed the Program by making it appear less worthwhile than it might be. In turn this may have limited the quality and quantity of applications for each competition.

Other data show that the respondents as a group felt the Program's funding process was fair. *They felt that the Program was a major source of funds for research and demonstration in the library and information field, and almost unanimously rejected the notion that Program funds be decreased or terminated.* The respondents felt that the budget should be increased between 300 and 500 percent. Finally, the respondents did not criticize the Program as a whole, but rather suggested ways of improving some of its procedures to make it work better. Even the most negative of respondents did not feel that the Program had not had an impact, and wanted to see that impact improved.

The HEA II-B Library Research and Demonstration Program is unique--as a funding source and as a research program--in the broad scope of its interests and the latitude of its policy in providing the impetus for a great many new directions in the development of library and information resources. Its impact has been unmeasurable simply because there is nothing against which to measure it; without this Program, it is quite possible that sponsorship of research and demonstration activity in the library and information field would have been limited to a few foundations and that very little research applicable to the needs of all types of libraries would have been possible. Since the beginning of the HEA II-B Library Research and Demonstration Program, more than $13,000,000 in Program funds have been injected into Research and Demonstration efforts over the past 12 years.

6

HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM: AN ANALYSIS OF FACTORS AFFECTING THE PERFORMANCE OF PROJECTS AND IMPLICATIONS FOR PROGRAM MANAGEMENT

Chapter 5 discussed the findings of the analysis of Program outcomes, in terms of Program accomplishments and impacts. The present chapter discusses the factors underlying the operations of the projects which contributed to or inhibited the successful completion of projects and utilization of their results. The purpose of this chapter is to identify those factors and to illustrate their relationship to project performance in order to evaluate USOE's current role and draw conclusions about how that role might be improved. In so doing, evaluations of the projects have not been attempted, although examples from specific projects are used to illustrate findings. The data are aggregate, and provide information about projects only for the purpose of evaluating the Program. An "absolute" measure of success or failure is not of primary interest here. The objective is to identify the factors (variables) associated with success and failure.

Section 6.1 discusses the identification of the key variables and their relative ability to predict problems or success. Section 6.2 discusses the characteristics of projects vis-a-vis the key variables. Following these discussions, the implications of these findings for the Program as a whole are discussed, with particular emphasis on the role that program management has played and potential postures for that management in the future (Section 6.3). The relationship between the key factors identified and the ability of the project to make adequate provisions for continuation, replication, and dissemination is the subject of Section 6.4. Another important factor in the success of the Program is the extent to which the Program helps to foster a sense of community and cooperation among its projects (Section 6.5).

6.1: IDENTIFICATION OF KEY VARIABLES

Several variables were examined to see if they would serve as indicators of project performance. Those variables that proved to be useful in showing differences in projects were used in the analysis. Project Directors' perceptions of their ability to meet their own expectations for achieving their objectives provided insights into the potential causes of success and failure in projects. However, this variable was not strongly related to other performance variables in a consistent fashion. Therefore, the discussion of project performance characteristics in Section 6.2 concentrates on other variables such as those types of changes undertaken and those types of problems encountered which were more consistent factors in the smooth and effective attainment of project goals.

While there was a variety of relationships among the variables identified, none was consistently related to the others in such a way as to permit the combination of variables into a single criterion of project success or failure. The relationships among the variables are more fully explained in Section 6.2

6.2: PERFORMANCE CHARACTERISTICS OF PROJECTS

Analysis of factors underlying the differing performances of projects can lead to an assessment of the Program that supports the projects. The purpose of this section is to present those characteristics found to be associated with the performance of projects funded by the HEA II-B Research and Demonstration Program. As discussed earlier, this analysis is concerned with the success of projects funded under the HEA II-B Library Research and Demonstration Program only insofar as it sheds light on the Program.

Reasons for Undertaking the Project

The most frequently cited reason for undertaking the project was to be able to respond to known user needs. A higher proportion of Project Directors who felt their projects to be successful[1] cited this reason than did those who reported lack of success in meeting objectives. The less successful projects were more likely to report that they had been approached by an institution or community group with a request for some research or demonstration project to be performed. Other reasons for conducting the library projects included: funds were available to test research hypotheses and to find ways of improving the services of a library.

Accomplishment of Project Objectives

Overall, 36 percent of the Project Directors reported exceeding expectations in meeting objectives,[2] *43 percent did as well as expected, and 21 percent felt thay had not met their objectives as well as expected.* Project Directors who felt their projects were successful in meeting objectives cited as reasons: large numbers of participants, frequent use of results or frequent requests for dissemination in the form of reprints or reports, invitations to speak, or requests for replication information. Those who had not met objectives as had been expected explained that: there was a lack of community or institutional support, original objectives were poorly conceived, or that there was inadequate management/financial support.

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[1] Success is defined as meeting or exceeding the objectives of the project.

[2] It is important to note that the question posed to the directors was stated in terms of their expectations--not actual achievement.

Due to the variety of approaches to projects, different content, and different expectations, it was not possible to draw conclusions across projects about the factors that contributed to the meeting of objectives. Good management and good planning certainly helped, but even where objectives were unstable, unexpected success was as likely to occur as unexpected failure. An excellent example of a project that was successful despite a shaky start and a reordering of objectives was a study of information needs of an urban Latino population. In this case study, the sampling, location, and objectives changed considerably, and severe financial problems had to be overcome to develop a unique data base for the information needs of urban Latinos.

Other projects "just set out to do what we said we'd do" and succeeded. One project attempting to develop a continuing education program for librarians exemplified a small but competent project, accomplishing its aims and becoming absorbed into the agency as a self-supporting program.

Why Objectives were Changed

Approximately 23 percent of the Project Directors reported that their project's objectives had been changed. Over one-third of these individuals felt that their projects exceeded expectations in meeting objectives, and almost one-third felt that the project had failed to meet expectations. *Reasons cited for changing initial project objectives included the following:*

- *impact of concurrent research results;*
- *political problems in the community or elsewhere;*
- *budget cuts imposed by the sponsoring agency;*
- *slowness in implementation of the project;*
- *change in sponsorship;*
- *inappropriateness of objectives;*
- *recommendations by USOE; and/or*
- *limited availability of staff.*

Of all Project Directors, 25 percent requested approval of changes in objectives from USOE (of the remaining Project Directors, 69 percent were familiar with requirements for obtaining such approval). Only one project was refused the requested modification by USOE and the reason given was lack of funds.

Those projects which changed their objectives were more likely to change other aspects of their activities, particularly the project scope and schedules, utilization of resources, and methodology. They were also more likely to discuss aspects of their projects with Federal officials.

Changes in Projects During the Grant Period

In the process of conducting a research or demonstration project, changes often occur when attempting to implement the proposed plan. Changes were significantly more frequent for those projects receiving technical assistance from external sources and as a result of discussions with Federal officials. Changes made in projects as a result of evaluations performed by outside advisors were not strongly related to the Project Director's estimation of the extent to which objectives were met. *Those projects which were considered by their Directors to be highly successful projects changed their scope, utilization of resources, and staff more frequently than other types of projects.*

Changes in a project were not clearly related to self-reports of funding problems, although changes in schedules as a result of evaluations and technical assistance were more frequent for projects with funding problems. Changes in scope were somewhat related to problems in financing as well. Cutbacks and extensions were strongly related to funding problems. Changes in resource utilization and the ability to obtain new resources seemed to be more frequent for projects reporting little or no funding problems, although no significant relationship exists.

The dynamism of the projects was a key feature of the Program. It appeared to be strongly related to success--many projects reported changing aspects of their activities because of self-evaluations, technical assistance, etc. Few projects reported failure as a result of changes; rather, problems led to the changes. The projects were conducted under grants which allowed some flexibility in the changing of tasks. The Directors appeared to take active advantage of this flexibility to improve their projects. Program Managers need to be aware that this flexibility is built in, and aware also of the need for monitoring such changes to avoid problems and to keep the projects on schedule and within the boundaries of the initial research/demonstration problem.

In general, frequent changes were common for all types of projects and in all categories. In many cases, more successful projects reported changing, discussing changes, and requesting technical assistance than did less successful projects.

Reports of Problems During Projects

More than 85 percent of the projects reported discussions with Federal officials on problems encountered, and over 60 percent of the Project Directors reported changing the project as a result. The frequency of occurrence of these discussions and subsequent changes were not strongly related either to projects which had changed objectives or to projects reporting different levels of success in meeting objectives.

A number of problems were reported by Project Directors. Of these, adequacy of funding was the most frequent, being rated as serious by 26 percent of the Project Directors. However, 44 percent of the Project Directors indicated that funding was not a problem. Other problems encountered by the projects included: inappropriate staff, difficulty in reaching users, and hindrances of internal procedural requirements imposed by the project's sponsor. Projects which reported not meeting their objectives were twice as likely to report lack of cooperation from intended beneficiaries, difficulty in assessing needs, and hindrances caused by the procedural requirements of sponsoring agencies as problems.

Difficulty in reaching users and problems in obtaining institutional or community support were often cited by Project Directors as causes of not having met objectives as well as had been expected. These problems were encountered in a variety of ways and had differing impacts on the projects. Several of the case studies provide examples of these problems. One project demonstrating neighborhood information centers encountered staffing and administrative problems that hindered its ability to coordinate services for users. For example, there was resentment at one site over the role of the information center coordinators in the local library branches. At another site, the project staff was expected to maintain the responsibilities of the regular library staff as well as their information center responsibilities. Hindrances caused by sponsors' procedural requirements ranged from an inability to obtain approval of subcontracts because of confusing State regulations governing contracts, to a failure to obtain permission to change curriculum in a degree-granting program.

Staffing was reported to be inadequate by 28 percent of the Project Directors, and inappropriate by 21 percent. Unsuccessful projects had a slightly higher frequency of inadequate staff than more successful projects. Most projects cited the need for clerical workers, but projects which changed both their objectives and reported an inability to meet their objectives also needed project coordinators or researchers. *Thus, one factor affecting lack of success and frequent changes may be the need for qualified personnel to run project activities and to help the project meet its objectives.*

6.3: THE ROLE OF PROGRAM MANAGEMENT IN PROJECT PERFORMANCE

As a grant program the HEA II-B Library Research and Demonstration Program is aimed at providing funds for new research and new ideas in service patterns; the management of this Program is primarily oriented toward the monitoring of project performance. *Overall, the Project Directors indicated that the Federal Program staff was helpful and prompt in providing assistance. However, the Program staff and the spontaneous comments recorded in interviews, indicated that the Program may not be providing as much assistance as is necessary, particularly in the areas of dissemination, replication, and evaluation. For example, several respondents indicated that the Program could be improved through more site visits, and more interaction with the projects from* USOE. The following sections summarize the reactions of the Project Directors to the role of USOE in Program Management vis-a-vis their experiences.

Federal Management Practices

The USOE Program Manager monitors the progress of projects to assure that they meet USOE rules and regulations, and to facilitate the successful completion of projects. In addition to progress reports and other formal contacts, USOE is required to perform evaluations in the form of a review of project activities. The reactions of the Project Directors to the role that these activities played in their projects are described below.

Monitoring: Almost all Project Directors reported the use of written and oral reports and site visits as monitoring activities by Federal officials. Of the three techniques, *site visits were considered the most useful,*[1] *and written reports the least useful.* About 17 percent of the Projects reported that a Regional Program

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[1] It should be noted that Program staff budgets for travel have been severely limited, restricting much site visit activity.

Office (RPO) was their contact with USOE, the remainder of the Project Directors contacted USOE in Washington, D.C. directly. Contact with Federal officials was maintained by all projects, and a variety of issues related to Federal regulations, problems, and project activities was discussed with USOE by most of the Project Directors. As a result of this contact, *about one-third of the projects which discussed issues with USOE reported that this discussion led to changes in the projects.* The most frequent changes were associated with some of the most frequently discussed issues: problems encountered, cutbacks/extensions of specific activities, and financial decisions. Other issues frequently discussed, but not as frequently changed by the discussions were: Program regulations, coordination with other projects, technical/methodological issues, problems anticipated, and the use of existing resources.

Evaluation: *Approximately half of the projects reported that USOE conducted formal reviews of their projects, and these reviews were found to be quite useful.* Almost two-thirds of the Project Directors also reported that USOE performed informal reviews, but these were less useful (56 percent found them useful as compared to 72 percent finding formal reviews from USOE useful). In contrast, only one-sixth of the projects were formally reviewed by Regional Program Officers and one-third received informal reviews from the RPOs. The RPOs' activities were felt to have similar value to the project as those by officials at the Central Office.

Technical Assistance: In discussing the role that Federal officials play in their projects, it was often difficult for Project Directors to distinguish between the concepts of monitoring and technical assistance. Project Directors reported that telephone calls were the most frequent vehicle for technical assistance. They found brainstorming sessions to be a particularly valuable method of assistance, although other procedures were felt to be very useful as well. *The Project Directors felt that assistance from Federal officials was usually or always directly relevant to their* *needs and that they rarely had trouble obtaining help.* Ninety-six percent of the Project Directors reported receiving assistance within two weeks of their request. The Federal Program Managers and outside consultants were rated more often than others as providing very helpful assistance. The Project Directors also indicated their desire for a larger Program staff and budget to allow more interaction with the projects; an increase in technological and methodoligical skills of the Program staff; and more outside advice, such as Advisory Committees, to help the staff remain current on National priorities.

Overall, 60 percent of the projects reported changing their project because of the technical assistance received. These changes occurred most often in scheduling, methodology, project scope, and the utilization of resources.

Marked changes in projects have been shown to be a positive process when the changes are the results of evaluations, technical assistance, and monitoring. However, projects which required changes in objectives, due to poor planning and unrealistic goals, had the most need to change the project as a whole. While many projects achieved success after incorporating the changes, others failed to meet their new objectives. Several remedies exist, but the two most important are: 1) careful evaluation by USOE, during the award process, of the appropriateness of project objectives and the realism of the proposed plan of action to meet them; and 2) when change does occur after the award, increased technical assistance by USOE to help assure that proposed changes are adequate and realistic.

The need for change and the failure to meet objectives appeared to be caused by several factors: poor planning, lack of sponsor support, and problems in reaching intended beneficiaries. Financial problems and staffing problems were not as consistently related to other difficulties, and many projects succeeded in spite of them. These other problems, however, appeared to correspond with lack of replication, inadequate dissemination, and failure to meet objectives. Thus, the Program should pay more attention to these issues in the proposed selection stage (especially planning) and in project monitoring (allocating more time to projects with these problems).

6.4: DISSEMINATION, REPLICATION, AND CONTINUATION

As discussed in Chapter 4, dissemination, replication, and continuation are emphasized by the Program as measures of project success. To varying degrees, these activities are also critical to the Program's success. Dissemination and replication were strongly associated with project performance variables. Continuation also appeared to be a major variable. However, it is clear that certain projects need not and should not be replicated or continued.

Dissemination

All Project Directors reported that they have attempted some degree of dissemination activity ranging in type from informal conversations to commercially published books. For example, three persons mentioned using radio/television as a vehicle, and many Directors published their final reports or wrote books based on the project. The most frequently used method of dissemination was the delivery of papers at conferences (76 percent) followed by dissemination through ERIC[1/] (72 percent). Nearly half of the Project Directors reported attempting dissemination activities "whenever possible." However, the more successful, stable projects were more active in dissemination, especially in the preparation of journal articles and conference papers, than were other projects.

Replication/Adoption

Overall, *60 percent of the projects reported establishing procedures for assisting any agency, organization, or group interested in adopting or replicating their work.* Efforts to ease the adoption

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[1/] Educational Resources Information Clearinghouse.

process took the form of models, manuals, and workshops. Most projects, however, reported that their replication information would be available on an informal basis, and few would require payment unless excessive costs were incurred.

The development of procedures to guide replication/adoption was consistently associated with success factors. Projects were more likely to have such procedures if they were stable, if they felt they had met or exceeded expectations in meeting objectives, and if they experienced no problems in such areas as reaching the target population, dealing with their sponsoring agency, or staffing.

Continuation

For research projects, continuation is not necessarily a relevant concern; for demonstration projects, however, continuation means that the new service in the demonstration areas need not depend on Federal funds for their survival. The case studies provided information about the continuation potential of the Research and Demonstration projects. Of the 12 case studies, five projects were aimed at demonstration, and another four were systems development efforts. The systems development projects were designed to result in a program or model that could be implemented on an ongoing basis. *Of these nine projects, only one systems development and three demonstration projects have been continued to any degree with other funds.* In the systems development project that was continued, HEA II-B funds only provided the impetus for one small component and, although the Program funds were available at a crucial point in the project's history, they were not central to the project development, survival, or continuation. Two of the demonstration projects that were able to continue did so at the local sites of the original grant because local funds were available. The remaining project survived by providing its services on a fee basis to participants.

Summary

One conclusion that can be drawn from these data concerns the dissemination, replication, and continuation variables. Of the three, dissemination appeared to be the most successful; not only did more projects engage in dissemination activities than activities involving replication and continuation, but the projects tended to engage in dissemination activities at every opportunity. Further, Project Directors were generally aware of other projects, shared information with them, and entered into formal and informal relationships with others. However, Project Directors perceived dissemination as the weakest aspect of the Program as a whole. It may be that dissemination efforts are too diversified and disparate, and need to be coordinated among projects so that a greater impact can be achieved.

More than 60 percent of the projects have developed replication procedures, and an estimated one-third have been able to obtain funds to continue their work beyond their Program grants. By absolute standards these figures might be considered successful, and for many projects those activities would be inappropriate (certain types of research projects, unsuccessful projects). Nevertheless, replication, dissemination, and continuation are among the criteria by which the Program rates and selects proposed projects, yet large proportions of the projects appear not to accomplish them. This raises two questions:

- What can be done to increase the success of these objectives?
- Is it desirable to do so?

First let us address the question of continuation. Grantsmanship is a difficult process, particularly in the library field where there is limited funding available. Obtaining funds for continuation of a successful research or demonstration project out of operating budgets of local agencies is even more difficult. Only a concerted effort and the infusion of dollars into the field could probably increase the success of this objective. The second question is more difficult and is related to other issues: 1) If the Program is aimed at providing "seed" money and funding new and innovative ideas, is continuation important to the success of the Program? If so, to what extent? 2) If the director of the sponsoring institution of a project is committed to the project and finds it successful, it is likely that the project will seek continuation funds *anyway*, without the requirement. The converse is also true: If the project is not successful, why exert efforts to continue it? 3) Given the model, and recommendations for Program changes, what is the role of continuation in the future and how is it to be accomplished? Chapter 12 contains a more detailed discussion of recommendations for the Program in this area.

Replication, on the other hand, is not as central to the issue. Rather, it may be subsumed under dissemination and training. If the model is adopted and is workable, replication is performed by new agencies where appropriate, and the linkage system provides the necessary support for training and other activities.

The analytic model developed for this study (Chapter 2) helps to place these activities in perspective. It is unreasonable to assume that because an innovative project is funded that its results will be immediately valuable to users. Some such projects might; most will not. When programs coordinate evaluation/feedback, needs assessment, and other activities contributing to each decision, and combine this with effective leadership and technical assistance (the result of a focused Federal role and increased resources), the requirement of dissemination, replication, and continuation at the onset of a project becomes less important. Dissemination becomes a coordinated activity provided by the Program which has a National perspective on who is doing what. Continuation and replication/adaptation become as much the responsibility of the persons wishing to use it as of the creators, again with Federal coordination.

6.5: RELATIONSHIPS WITH OTHER PROJECTS

Because networking and cooperatives are a major thrust in the library and information field, and a major goal of the LSCA III program which is part of the present evaluation, the relationship of the HEA II-B projects to networking and cooperatives is of interest to this discussion.

Approximately 62 percent of the Project Directors reported that they knew of networking or cooperative projects to which the results of this project would be applicable. Of these, 60 percent (37 percent of all projects) knew of projects that had utilized their products for replication or other purposes. Furthermore, 44 percent of the projects reported utilizing, as test or satellite sites, libraries that were involved with networking or cooperative projects. While no clear relationship appeared between such involvement and the performance HEA II-B Library Research and Demonstration projects, there was a high frequency of such activities within the research and demonstration community.

Only 15 percent of the HEA II-B Library Research and Demonstration projects reported having formal relationships with other Program funded projects. About 40 percent did have informal relationships, primarily for the purpose of information sharing. The strength of these relationships varied considerably from project to project, and no clear cut pattern for formal or informal link-up could be discerned.

7

HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM: POLICY AND FUTURE DIRECTIONS

The U.S. Office of Education's selection of Research and Demonstration projects for funding has followed specific procedures over the course of its history. Since 1971, especially, these procedures have been continually refined or modified due to changing regulations, budget considerations, and USOE priorities in terms of content (i.e., since 1971, special services to target groups have received major consideration) and approach (demonstration-type projects have been emphasized). To obtain a perspective on the HEA II-B Library Research and Demonstration Program, practitioners in the library and information sciences were interviewed concerning their perceptions of the Program and its selection practices. Three groups of respondents were asked similar questions, thus providing information on the HEA II-B component of this study from three vantage points:

- The current and past Project Directors observed the Program as grant recipients, some of whom had also been unsuccessful in past or subsequent grant cycles;
- The Research and Demonstration Peers (R&D Peers) observed the Program as respected members in the field, but had not received grants since 1971 (although some had been grantees prior to 1971, but had been unsuccessful in obtaining later grants);

- The Application Review Panel (ARP) members observed the Program as participants in the decision-making process during the years 1971-1977 (some had received grants and others had been unsuccessful applicants).

This chapter presents the findings of the analysis of survey and case study results. It begins with a discussion of the strengths and weaknesses of the Program, grantee selection and funding process, changes to this process recommended for the future, and concludes with a presentation of data on directions foreseen and recommended for library research and demonstration.

Prior to presenting these findings, however, it is important to point out a factor affecting the analysis. Because the present study has examined only projects funded between 1971 and 1976, most respondents did not have experience with the new USOE regulations and practices put into effect subsequent to their involvement. Earlier ARP participants were unaware of the practices which were instituted after their participation. In the ensuing discussion, areas where there may be anachronistic comments by respondents will be identified as such. The effects that the recent change (cessation of discretionary use of proposal ratings by Program Managers) in the role of the ARP will have on the Program, as a whole, cannot be evaluated at this time because projects funded under the changes have not been included in the present study.

7.1: STRENGTHS AND WEAKNESSES OF THE PROGRAM'S GRANT SELECTION AND FUNDING PROCESS

Respondents in each of the three samples were asked to identify the strengths and weaknesses they perceived in the Program's grant selection and funding process. Of the Project Directors, only 60 percent felt they were familiar with the process. Similarly, 55 percent of the R&D Peers were aware of the Program's application selection procedures. As may be expected, the ARP members who participated in grant selection felt, 93 percent of the time, that they were aware of how such selection took place. *Those members of each group who did respond agreed that the strengths of the selection process are:*

- *The fairness of the process, including the peer review and strict guidelines and criteria (28 percent of the respondents);*
- *The utilization of proposal reviewers who are peers of the competitors (18.9 percent of the respondents);*
- *The diversity of readers utilized (11.3 percent of the respondents); and*
- *That proposals are often assigned to readers qualified to review proposals in a specific field (8.5 percent of the respondents).*

Each of these characteristics were cited by no fewer than 9 respondents. Comapred to the weaknesses cited below, the responses were unified across respondent categories and confined to only a small variation in content. In addition, each of the comments reflects some aspect of USOE decisionmaking policy, indicating that these aspects are perceived as the Program's strengths.

Weaknesses, by contrast, were much more diversified and ranged from comments about ARP selection procedures to feedback on grant selection results. Comments differed from one respondent type to another. *The weaknesses of the Program mentioned most frequently were:*

- *Lack of continuity of ARP membership (7.5 percent of the respondents);*
- *ARP review procedures themselves (6.6 percent of the respondents);*
- *ARP members can be too biased in their review (6.6 percent of the respondents);*
- *Reviewers not given adequate time to review proposals (6.6 percent of the respondents);*
- *The lack of feedback to competitors on proposal selection rationale (4.7 percent of the respondents); and*
- *The role that personalities and politics play in decisionmaking (4.7 percent of the respondents).*

Other, less frequently, mentioned weaknesses included: that reviewers were often given proposals which they were not qualified to review; readers did not vary enough (note, the contradiction with a major strength); and that there was no opportunity for reviewers to discuss the relative merits of proposals with each other.

Those who commented on the lack of continuity of the review panel membership often felt that such a lack prevented the active members from gaining a perspective on research and demonstration trends, experience in proposal reviewing, and a perspective on the relevance and relative importance of each proposal. Several individuals felt that reviewers would be biased, for various reasons, including professional loyalties. Another group felt that reviewers are often selected on the basis of personalities rather than merit. The first two comments came largely from Project Directors, while the latter was made by the R&D Peers. This distribution indicates that nonmembers of the ARP tend to be more critical of its membership than members, and nongrantees were more critical than grantees.

In general, the comments about weaknesses appear to be limited to procedures whereas comments about the Program's strengths are more generic. *This seems to indicate that overall, the Program is valued and its procedures were viewed positively in spite of the limits within which it must operate. Negative comments, when proffered, were intended to improve the Program. Most of the comments concerning strengths and weaknesses were made with the understanding that Program resources (funding, staffing) are limited and not likely to improve.*

Application Review Panel

The grant selection process for the Research and Demonstration Program relies heavily on the Application Review Panel. Respondents were asked about their perceptions of the ARP and selection of its members. *Very few of the respondents (26 percent of the Project Directors, 21 percent of the R&D Peers, and a surprisingly low 9 percent of the ARP members) were aware of the method used to* *select that ARP participants. Of the individuals who were aware of the selection process, slightly more than half felt the panel to be representative of the library and information sciences community, and about half felt procedures for selection should be changed.*

7.2: CHANGES IN THE PROGRAM

Responses to any of several questions requesting recommendations for changes in the Program were consistent across content areas. Several areas were probed: overall selection procedures, the selection of ARP members, the reinstatement of the USOE Advisory Committee, and potential roles for the State Library Agencies in HEA II-B Library Research and Demonstration Program administration. The opinions of the three respondent groups are presented in the following sections.

Overall Programmatic Changes

The Project Directors and R&D Peers were asked how they thought the Research and Demonstration Program could be improved at the Federal level. *The following were mentioned as areas for potential improvement of the Program's management:*

- *USOE should take a more active role in dissemination (16.6 percent of the respondents);*
- *There should be increased interaction of USOE personnel with the field (12.8 percent of the respondents);*
- *Grantees/applicants should be permitted to obtain some estimation of the predictability of funds; increase funds available (12.8 percent of the respondents);*
- *Improved/increased monitoring/technical assistance from Program officials is needed (12.2 percent of the respondents);*
- *The clarity/specificity of grant application should be improved (9 percent of the respondents);*
- *Better priorities/objectives should be set for the program (5.1 percent of the respondents);*
- *More evaluation of projects by USOE should be conducted (5.1 percent of the respondents); and*
- *Feedback on applications not funded should be provided (5.1 percent of the respondents).*

Other potential improvements mentioned less frequently included: Program funding for projects that have national impact; encouragement of cooperation among Program participants; greater emphasis on research in information science; reinstatement of the Advisory Committee; use of Program funds as seed money only; and more input from public libraries. Many of the comments reflected an awareness of budgetary restrictions currently preventing the implementation of many of the suggestions, especially those recommending increased activities and input on the part of USOE Program staff.

Respondents felt that USOE, because it has central control of the Program, was a natural keystone for an effective dissemination "network" which would enable the learnings from each project to be communicated to others. Because USOE is responsible for monitoring and providing technical assistance to current projects, it was felt that USOE Program Managers were in an ideal position to transmit information gathered during these activities to other, active projects.

A clear trend in the data is that this desire for USOE dissemination was part of a larger feeling that Federal Program Managers should be more involved in the field, in terms of interactions with researchers, providing assistance, and evaluating activities. Even recognizing the budget and staff restrictions, respondents felt that such increased communication would be of value to projects and the Program, and that it would also be important to the library and information science community.

Changes in the Grant Selection Process

The respondents' recommendations for changes in the grant selection process included giving more weight to the ratings of the Application Review Panel; clarifying and improving the scoring procedures; and providing more open discussions of applications. The first suggestion may seem anachronistic because Program policy has been changed recently; now, the comments and scores of the readers are the primary factors in the selection of grantees. The ARP members recommended clearer scoring rules and, along with the other respondent groups, requested open discussion of applications.

More than half of the respondents felt that the ARP membership was representative of the library and information science community, but many felt that the selection of the ARP should be changed. For example, it was felt that the criteria for selecting the Panel needed improvement, and that consumers should be members. Increased representation by library educators and public librarians was suggested.

There were several suggestions about the relationship of USOE to potential grantees. For example, it was suggested that USOE should do more to aid proposal writers, either through more thorough or specific guidelines accompanying the application, or through personal assistance where possible. Several individuals felt that, soon after the application is submitted, the applicants should be given some idea of their chances of obtaining funding so that they can better plan for the year. Many individuals suggested giving applicants more time to prepare proposals. About three and one half months was considered optimal. More than half of the respondents thought the two to two and one half months now available was inadequate. Some respondents felt that USOE should shorten, as much as possible, the length of time that elapses between the closing date of the comptetition and the notification of awards. The respondents frequently suggested that USOE provide feedback on evaluation results for proposals, especially those that are not funded, to assist the proposal writer in improving the next proposal prepared for the program.

Other Areas Needing Change

Two areas of policy, not currently part of the regulations or practices of the HEA II-B Library Research and Demonstration Program administration, were identified as needing to be changed: 1) reinstating the USOE Advisory Committee to assist USOE in setting objectives and priorities for the Program; and 2) establishing some role for State Library Agencies. The notion of an Advisory Committee was favorably received by most respondents. Respondents also favored the involvement of the State Library Agencies in the Program, although only in an advisory and not an administrative capacity.

Advisory Committees for many USOE Programs are authorized by legislation. However, it has been the policy of the Commissioner for the past several years not be convene such committees, largely because of the additional expense. *As a part of this study's effort to identify future directions for USOE in the area of Library Research and Demonstration, we found that more than 80 percent of the respondents favored the reinstatement of an Advisory Committee to the Program.*

About one-third of the respondents felt that reinstatement of the Committee would assist USOE in obtaining a broader perspective on the library and information field, and in better understanding the research trends that are important for decisionmaking. Many respondents also felt that an Advisory Committee would be very helpful in devising better goals and objectives for the Program. The Advisory Committee would also help Federal Program Managers to understand and pursue new directions for the Program. It was felt, too, that an Advisory Committee could share the burden of decisionmaking with Federal officials. Others saw the Committee as an avenue for improved communication in the field, a potential vehicle for spreading information about the Program. Other roles suggested for the Committee included: assisting in management and in screening proposals, providing a broader perspective of the field, reviewing work accomplished by projects, helping the Program to become less political, and fostering a better relationship between USOE and the American Library Association. Those individuals who felt that the roles of the Advisory Committee and the ARP could overlap, with the Committee setting priorities and screening proposals before ARP review.

The respondents felt that a range of backgrounds in the library and information science field should be represented. The three groups of respondents held similar opinions, but ARP members supported representation less strongly, especially Committee representation of the National Commission on Library and Information Sciences, private self-interest groups, and library schools. Among the spontaneous suggestions for membership made by respondents, the most numerous were: consumers, persons outside library fields, and information science professionals.

Over 60 percent of the respondents felt that the State Library Agencies should have a limited role in the Program. Respondents favoring State Library Agency involvement were concerned with increasing interaction in the library and information science community and increasing resources available for Program activities. Several respondents indicated that involvement of the State Library Agencies would increase the Agencies' awareness of research and demonstration activities. A few thought that the State Library Agencies might assist in the funding/management process of the program. Those respondents who thought that the State Library Agencies should not be involved in the Program felt that such involvement would add "red tape" to the process, increase the power of the State Library Agencies too much, provide a bias in favor of public libraries, and limit progress because of traditional or provincial (not national) interests and attitudes. They also felt that the State Library Agencies were too political, and that there was insufficient money to justify the input that would be received.

Of those who favored State Library Agency participation in the Program, 75 percent of the respondents felt that the State Library Agencies should not be involved in an administrative or decision-making capacity at the Program or project level. The same proportion of respondents thought that the State Library Agencies should receive information copies of proposals submitted by researchers in their State and should be represented on an Advisory Committee if it were reinstated. ARP members were more inclined than Project

Directors of R&D Peers to favor State Library Agency participation in the review and selection of proposals. Half of the Project Directors felt that the State Library Agencies might be represented on project advisory boards. Some respondents suggested that State Library Agency involvement in dissemination, avoiding duplication of project effort, and the management of funds would be beneficial to the program. It was also felt that having the available resources of the State Library Agency (money, staff, or knowledge) would be valuable for individual projects.

The reaction of the respondents to participation by an Advisory Committee or State Library Agencies seems to indicate a favorable attitude towards increased advisory assistance for USOE. The respondents did not seem to advocate major expenditures of time or effort for the Program and expressed apprehension that the participation of other bodies might increase red tape.

7.3: FUTURE DIRECTIONS FOR THE PROGRAM

The respondents to this component of the study are active members of the library and information science community, and their opinions about future directions for the HEA II-B Library Research and Demonstration Program give us some indication of the attitude of that community. The content areas of interest to them in planning future proposals are also important to Program planners. The sections below present the findings on the areas preferred by the respondents for proposal preparation in the near future, and the opinions of the respondents on several parameters of the HEA II-B Library Research and Demonstration Program which may be flexible in the near future.

Content Areas

Half of the Project Directors and one-third of the R&D Peers thought that they would probably submit a grant application to receive Program funds. The Project Directors had few clear preferences for any of the fields emphasized by the Program's objectives. with between 20 and 30 percent feeling that they would definitely submit proposals in a variety of areas including networking, library services, needs assessment, and training. The emphasis was on improving services and upgrading library skills. Technology and efficient uses of resources were also important to this sample. R&D Peers favored training and developing service patterns responsive to the needs of target populations (40 percent of the Peers would submit proposals in each of these categories).

Two-thirds of all respondents felt the Program should fund research and demonstrations concentrating on traditional services and outreach types of activities. However, for the one-third who preferred one of these directions over the other, there was a clear preference for the outreach activities to receive priority in obtaining Research and Demonstration funds.

Respondents were also asked whether they preferred research or demonstration projects. *Here again, almost two-thirds of the respondents wanted both types of projects funded, although R&D Peers were more inclined than others to choose between the two.* Of those respondents who did choose one type rather than both, slightly more Peers and ARP members favored research-type projects, while slightly more Project Directors favored demonstration projects.

Policy Areas

Project Directors and R&D Peers did not feel that changing the policy of grant applications to more formal and detailed requests for proposals would hinder their participation in the Program. Less than one-third of the Project Directors and only 20 percent of the Peers said they would not participate if the grants were changed to more formal contracts.

Nearly all respondents favored an increase in Program funds, though R&D Peers were somewhat less positive (71% of the R&D Peers favored an increase in funds, compared to over 90% for the other two groups). Among those respondents wanting an increase in funds, a median amount of $4 million was suggested. This same figure was favored by the Project Directors, while the median expressed by ARP *members was $3.5 million. A 500 percent increase in Program funds was recommended for the HEA II-B Program, in contrast to the 300 percent increase recommended for the LSCA III Programs. Thus, increasing the Research and Demonstration Program is considered quite important by respondents, though these suggestions were made without a full understanding of the policy constraints placed upon the Program.*

If funding for the Program were to remain the same ($1 million per year), almost three-fourths of the respondents would not limit funding priority to either large or small grants. That is, they would favor continuation of the current policy for funding large and small projects. Among the remaining respondents, there was an even split in preference for a few large grants or many small grants.

PART 3

LSCA III:

AN ANALYSIS OF PROGRAM IMPACT, OPERATIONS, AND POLICY

8

LSCA III:
BACKGROUND AND SETTING

Within the process of knowledge building, testing/capacity building, and implementation suggested by the change model presented in Chapter 2, LSCA III tends to fall into the second and third stages. The second stage involves the testing and adoption of new service delivery and information processing concepts applicable to multilibrary cooperation and networking within and among States. The third stage, acceptance and operation of multitype library cooperation and networking as an integral part of basic services, indicates the lasting impact that LSCA III can have (though LSCA III applies more directly to Stage 2). This chapter sets the stage for examining this impact. In it, three areas of discussion are presented. First, and most importantly, library networking and cooperation as concepts are reviewed and synthesized. Second, the operational and funding characteristics of the LSCA III Program are examined. Finally, the legislative history and background of LSCA and LSCA III (including LSA), from 1956 to recent efforts to substantially change the legislation, are discussed.

8.1: STATE-OF-THE-ART OF LIBRARY COOPERATION AND NETWORKS

LSCA III's purpose is to foster cooperation and networking between all types of libraries. Cooperation and networking are viewed as a means of attaining cost-effective ways of providing access to library and information resources for users. Cost-effectiveness is achieved by avoiding unnecessary duplication in areas such as development and implementation of new technologies, cataloging of materials, and acquisition of materials.

This section presents a definition of cooperation and networking and the current status of these activities. Then, using a variety of descriptions of library networking and cooperation in the future, key elements necessary to realize these advances are identified. This section concludes with a discussion of possible implications these advances will have for the future Federal role in the development of library and information services.

The Definition and Purpose of Library Cooperation and Networking

Networking is a generic term encompassing a range of cooperative library activities. When considered in terms of its ultimate goal, providing information and library services to users, networking becomes a framework for the entire discipline of librarianship because networking emphasizes the linkages among libraries, and between libraries and other institutions.

A number of definitions of networking and cooperation have been suggested. One definition of networks proposed by NCLIS is:

> Two or more libraries and/or other organizations engaged in a common pattern of information exchange, through communications, for some functional purpose. A network usually consists of a formal arrangement whereby materials, information, and services provided by a variety of types of libraries and/or other organizations are made available to all potential users. (Libraries may be in different jurisdictions but agree to serve one another on the same basis as each serves its own constituents. Computers and telecommunications may be among the tools used for facilitating communication among them.)[1]

Thus it is possible for either computerized or non-computerized systems to be described as networks.

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[1] National Commission of Libraries and Information Science, Toward a National Program for Libraries and Information Services: Goals for Action, Government Printing Office, Washington, 1975, p. 82.

A second definition of networking extends the meaning of the term. This definition is contained in LSCA III Program regulations and states:

> "Interlibrary cooperation," in reference to assistance under Title III of the Act, means the establishment, expansion and operation of local, regional, and interstate cooperative library networks which will provide for the systematic and effective coordination of the resources of school, public, academic and special libraries and information centers to improve supplementary services for the special clientele served by each type of library or center. Such networks may be designed to serve a community, metropolitan area, or region within a State, or may serve a Statewide or multistate area and shall consist of two or more types of libraries.1/

"Networking," however, is not the only focus of the LSCA III program. To make networking possible, LSCA III has also been concerned with the preliminary steps to insure the success of cooperative undertakings. These steps take the form of encouraging and facilitating personnel from all types of libraries to plan how they will coordinate the use of, and access to, their resources.

The definition of a network can be augmented by defining the six components of a network:

- Information resources--collection of documents or data in whatever medium; the data bases--the input;
- Readers or users--usually remote from the main sources of information;
- Schemes for the intellectual organization of documents or data--e.g., directories for use by readers or users;
- Methods for the delivery of resources to readers or users--the output; and
- Formal organization--cooperation, whether or not contractual. Using different data bases and/or groups of users;

1/ Federal Register, Vol. 39, No. 232, December 2, 1974, p. 41712.

- Bidirectional communications networks--preferably through high-speed, long-distrance electrical signal transmission with switching capabilities and computer hook-ups.[1]

Networks and cooperative projects engage to some detree in each of these components and in so doing address one or more of the following goals:

- Improved service to users. (This statement is so general that it has little meaning except in the context of the remaining, more specific goals.);
- Shared access to collections through enhanced interlibrary loan service and broadened scope of borrowing privileges;
- Coordinated collection development to avoid duplication of materials in areas which do not serve the primary interests or research needs of local library clientele; and
- Shared access to bibliographic data in support of library technical services.[2]

In addition, many networks have as a goal reduced costs for member libraries or, more realistically, reduced rates of cost increases. These are also the goals of many of the LSCA III type projects that provide TWX based interlibrary loan, develop union lists of serials, and/or develop and maintain union catalogs. The current situation is that libraries, faced with decreased budgets and rising costs, are looking to network based resource-sharing as an alternative to acquisitions of materials. Cooperation and networking also provide a significant means of addressing and meeting special service needs presented by unserved, underserved, and special clientele.

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[1] R. C. Swank, "Interlibrary Cooperation, Interlibrary Communications, and Information Networks--Explanation and Definition," in J. Becker, Ed., Proceedings of the Conference on Interlibrary Communications and Information Networks, Chicago, American Library Association, 1971, p. 19, 20.

[2] John Knapp, "Requirements for the National Library Network: a View From the Local Network," Journal of Library Automation, 10.2 (June 1977) p. 133.

Current Status of Library Cooperation and Networks

The basis for computerized library networks can be traced back to 1901, with the beginning of the Library of Congress (LC) card production and distribution service. During the first half of the century, the focus was on formulation of bibliographic control, and this laid the foundation for the sharing of data among institutions through a network mechanism. In the late 1950's and early 1960's the utility of data processing equipment for libraries was explored. The design of a format for machine-readable bibliographic records culminated in the national and later international acceptance of the Machine-Readable Cataloging (MARC) format.[1] The development of this format for communicating bibliographic information led to the on-line computerized networks of today.

The formalized network organization is a fairly recent phenomenon. A 1971 survey sponsored by the U.S. Office of Education identified 125 academic library networks, 90 percent of which had been established since 1960 and 75 percent since 1965.[2] In the same survey, the Ohio College Library Center (OCLC) was identified as one of approximately three computer-based networks undergoing a transition from research and development to full operations.[3]

In 1976, OCLC was "...clearly the largest and most dominant library network in the United States"[4] with a projected budget for 1977-78 of 18.5 million dollars.[5] Its more than 1,000 on-line users represent almost every type and size of library. Basically the system works in the following way: using a cathode-ray tube terminal (CRT) or a teletype, a library staff member at a remote location accesses the machine-readable data base stored at OCLC. This data base consists of MARC II records from the Library of Congress and cataloging data contributed by participating libraries. The user accesses the desired record(s), may modify it to meet any specialized needs, and requests the record. The data are then formatted into catalog card sets that are mailed to the local library.[1]

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[1] Susan K. Martin, Library Networks, 1976-1977, White Plains, N.Y., Knowledge Industry Publications, 1976.

[2] Ruth J. Patrick, Guidelines for Library Cooperation, Santa Monica, California, System Development Corporation, 1972, p. 1.

[3] Ibid, p. 157.

[4] Brett Butler, "State of the Nation in Networking," in The Bowker Annual, New York, Bowker, 1976, p. 96.

[5] Ohio College Library Center, Budget Plan: 1977/78, April 5, 1977.

Although technically a library accesses OCLC directly, organizationally it receives access through one of about 19 intermediary, or broker networks. In 1977, there were ten multistate networks, eight statewide, and one local network affiliated with OCLC.[2]

Two networks provide similar services. The Washington Library Network has been developed to serve libraries in Washington.

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[1] Butler, Op. Cit., p. 100.

[2] Multistate Networks (10): AMIGOS Bibliographical Council (ABC); Bibliographic Center for Research (BCR); Capital Consortium Network (CAPCON); Cooperative College Library Center (CCLC); Southeastern Library Network (SOLINET); Federal Library Network (FEDLINK); Midwest Region Library Network (MIDLNET); New England Library Information Network (NELINET); PALINET and Union Library Catalog (PALINET/ULC); Pittsburgh Regional Library Center (PRLC).

Statewide Networks (8): Illinois Research and Reference Network (IRRN); Indiana Cooperative Library Services Authority (INCOLSA); Maryland Academic Libraries Automated Processing Center (MALCAP) (linked to OCLC through CAPCON); Michigan Library Consortium (MLC); Minnesota Interlibrary Telecommunications Exchange (MINITEX); Ohio Library Network (OHIONET); State University of New York (SUNY); Wisconsin Library Consortium (WLC).

Local Network (1): Five Associated University Libraries (FAUL), Syracuse, New York.

The Bibliographic Automation of Large Library Operations Using a Time-Sharing System (BALLOTS) has also been developed and also offers computer-based support for technical and public service operations to a number of libraries.[1/]

In addition to the above on-line networks there are informational retrieval networks. Commercial firms such as the New York Times Company, Lockheed, Bibliographic Retrievel Services, and System Development Corporation provide on-line access to more than 80 data bases for their subscribers. Some of the on-line networks listed above act as brokers for these services. These data bases deal with citations from periodicals and technical reports in scientific and technical fields, business, industry, government, education, etc.[2/]

Any discussion of networking needs to consider the accomplishments of the national networks--the National Library of Medicine and the National Agricultural Library. The National Library of Medicine (NLM) has the responsibility for establishing and maintaining the Biomedical Communications Network. The two components of this network are the on-line sytems and the regional medical library network. NLM maintains and operates a comprehensive on-line biomedical data base (MEDLINE) and a number of specialized data bases (TOXLINE, CHEMLINE, CANCERLINE, CATLINE, etc.) through commercial telecommunication networks. Unlike most on-line sytems, NLM creates, distributes, and provides direct services to the users. NLM also coordinates the computerized network with other information needs such as documents, authoritative bibliographic information, and extensive development of desk-top manual tools.[3/]

[1/] Martin, Op. Cit., pp. 35-39.

[2/] Henriette D. Avram and Lenore S. Maruyama (eds.), Toward a National Library and Information Service Network: The Library Bibliographic Component, Preliminary Edition, Library of Congress, Washington, D.C., June 1977, p. 4.

[3/] Joseph Leiter, "On-Line Systems of the National Library of Medicine," MEDINFO 77, p. 349.

The NLM data bases are available via MEDLARS (Medical Literature Analysis and Retrieval System) which is based at NLM in Bethesda, Maryland, and accessed through a nationwide NLM network of centers at more than 600 universities, medical schools, hospitals, government agencies, and commercial organizations. Eleven Regional Medical Libraries, each responsible for a geographic area, coordinate NLM's on-line search services to other libraries in their regions in the United States. These libraries also handle requests for health literature not available locally, referring requests they cannot fill to NLM.

The Lister Hill National Center for Biomedical Communications is an organizational element of the National Library of Medicine. The Center has a broad mandate to serve as a focal point within the Department of Health, Education, and Welfare for developing and coordinating biomedical communications systems and networks; and to develop information systems and networks to improve education and research in the health sciences, and to facilitate the delivery of health services.[1/]

The National Agricultural Library (NAL) has network components similar to the National Library of Medicine. AGRICOLA (Agriculture On-Line Access) is a family of data bases providing for the information needs of NAL clientele. The data bases are available through commercial vendors.[2/] The National Agricultural Library has undertaken the development of a national agricultural sciences information network to link libraries of land grant universities and other agricultural research, regulation, education, and extension programs/agencies. Functions that are partially implemented or in planning stages include regional document delivery services, preservation and

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[1/] National Library of Medicine, Programs and Services, Fiscal 1976, Bethesda, Maryland, 1977, p. 35.

[2/] National Agricultural Library, Annual Report 1976, Beltsville, Maryland, 1977, p. 4.

microfilming of State agricultural publications, cooperative regional acquisitions, and cataloging of locally published agricultural documents.[1]

One assessment of intertype library networks made in 1974 provides the following generalized characteristics of networks:

Intertype library networks, at least in rudimentary form, are widespread throughout the nation;

- Intertype library networks are usually developing under the leadership of the State Library Agency;
- The public library system is commonly the nucleus for the intertype library network. Rudiments of the network often started prior to LSCA Title III, under Title I;
- Sharing of resources in all types of libraries, by means of a more effective interlibrary loan network, is commonly the major activity of the cooperative. Money is most often spent for rapid communications linking libraries (TWX or telephone); delivery systems (truck, tele-facsimile, or mail); location tools (union lists of serials, union catalogs, etc.); and administration of the network and compensation to resource libraries;
- Intertype library networks are commonly designed to serve the student in higher education, and the research and professional worker who needs access to scholarly material. Children and high school students are usually excluded from the network, as are adults who need information packaged in popularized form;
- Networks commonly introduce filters into the system to protect the universities from overuse;
- Users normally enter networks through their local public library although many systems provide for access through academic and special libraries;
- Networks usually include privately supported, as well as publicly supported libraries;
- Networks often have a continuing education component to prepare librarians to use the new services:

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[1] Avram and Maruyama, Op. Cit., p. 7.

- Cataloging and processing are increasingly the focus of network activity. The rapid spread of OCLC within the last five years may well prove the most significant development in intertype library cooperation. Because OCLC services are expensive, they may accelerate the formation of multistate cooperatives. They will link together only the largest, research level libraries. Because OCLC is primarily geared to large academic libraries, its wide acceptance could result in a shift of leadership in networking from the public library system to the academic consortium.
- As MARC based cataloging systems grow they may provide, as a by-product, keys to the location of materials which will make obsolete many other location tools.[1]

In addition to (intrastate) intertype library networks, there are multistate cooperative groups which are groups of States formally organized to improve library services through regional coordination. Examples are the New England Library Board (NELB) and the Southwestern Library Interstate Cooperative Endeavor (SLICE).

The Future of Library Cooperation and Networking

The present question concerning networks is not whether networks should be used, but rather how to configure, organize, and administer them most effectively.[2] Knapp presents one picture of a national library network that could be developed in ten years:

1. The national library network will emerge from the development of a set of communication links and standard protocols which will allow two-way, multilateral communications between existing and potential local networks;
2. The national library network should provide a mechanism for linking with other important bibliographic agencies such as the National Library of Medicine, National Agricultural Library, and the abstracting and indexing services. Links are also needed with the National Library of Canada and the University of Toronto;

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[1] Reformatted from Genevieve M. Casey, The Public Library in the Network Mode: A Preliminary Investigation, Commissioned Papers Project, Teachers College, N. 8, Columbia University, Teachers College, New York, May 1974, pp. 8-9. (This particular project was supported with an HEA II-B Library Research and Demonstration Grant.)

[2] Martin, Op. Cit., p. 1.

3. Services will include access to vendor and publisher files to place orders for library materials and searching data bases in various libraries;

4. The heart of the system will be a national cataloging data base that will provide access to cataloging records for every item held by the nation's libraries. This data base will be distributed to the local networks that will maintain records for their members; and

5. The national library network should include planning for the assignment of cataloging responsibilities to libraries which have particularly distinguished collections or where there is special cataloging expertise, thus developing distributed cataloging responsibility.

The configuration here is based on distributing data and responsibilities. This differs from another configuration suggested by Knapp, which is a stratified hierarchy with the Library of Congress at the apex. This alternative configuration will work only if a number of conditions are met. First, it must be seen as cost-effective by the local library and be funded using existing resources. Second, it would require Federal sponsorship. To be achieved, this national library network would require a distinct, separate organizational identity with an executive director and staff. The management of the necessarily complex technology and political relationships of this network could not depend on cooperative and volunteer commitments.[1]

A broader projection of the future in networking, suggested by NCLIS, is the concept of the "full-service" network.[2] Its components include the following:

- Resources that include all types of media and formats--serials, monographs, documents, newspapers, print and non-print materials;

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[1] Knapp, Op. Cit., pp. 139-141.

[2] Alphonse F. Trezza, "The NCLIS View--A Full-Service Network," *Journal of Library Automation*, 10:2 (June 1977), pp. 170-176.

- Activities that include identification, acquisition, preservation, and delivery of all bibliographic entities;
- Resource sharing through cooperative acquisitions, broad and direct patron access to resources, and sharing of staff and facilities;
- An integration of services of the school and special libraries; and
- Segments of the information and library community including abstracting and indexing services, publishers of all forms of media, and data base services.

Exhibit 8.1 presents a list of requirements that would need to be fulfilled to achieve a future national library network.

In discussing the future of networks, it is necessary to consider the role of the National Commission on Libraries and Information Science (NCLIS), the Library of Congress (LC), and the White House Conference. NCLIS is an independent, permanent Federal agency established by Congress in July 1970 (P.L. 91-345). It is responsible for advising the President and the Congress on the development and implementation of national policy, for developing overall plans for meeting national library and information needs, and for coordinating activities at the Federal, State, and local levels in meeting those needs. Its overall goal is to insure equal opportunity of access to information to every individual in this country, without regard to location, economic condition, or nature of needs.[1] NCLIS conducted regional hearings during 1971-1974 and, on the basis of the testimony, formulated eight objectives for a national program in library and information services. One of the objectives is to plan, develop, and implement a nationwide network of library and information services. Exhibit 8.2 presents the objectives of the national program. Exhibit 8.3 presents proposed responsibilities for the Federal government in implementing the national program.

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[1] Trezza, Op, Cit., p. 171.

EXHIBIT 8.1: GENERAL REQUIREMENTS FOR FUTURE NETWORKS

- Develop protocols for identification of data to be transmitted through telecommunication channels
- Systemize and optimize links among various segments of information such as:
    - Transfer of data from hard copy to microform to digital form;
    - Interface of information represented by full text, by abstracts, by index terms, by a bibliographic record, by a library or archival collection.
- Determine how to handle confidential information and the privacy of personal and institutional data in a cooperative milieu.
- Address social and behavioral aspects such as:
    - Attitudinal response to cooperative objectives;
    - Strains of additional work load as staff undertake cooperative tasks.
- Develop guidelines, standards, or criteria for excellence for:
    - Comparing library collections;
    - Expressing collection policies;
    - Categorizing reference and research queries;
    - Measuring user satisfaction.
- Develop budgeting/costing/accounting systems which will:
    - Channel funds productively;
    - Attribute costs equitably;
    - Impose minimal data collection and reporting burdens.
- Develop policy guidelines for pricing of network services.
- Disseminate and use the results of research and demonstration allocation.

SOURCE: Adapted from Joseph A. Rosenthal, "Network Brew: Hints from a Misty Crystal Ball," Journal of Library Automation, 10:2 (June 1977), pp. 104-10.

EXHIBIT 8.2: OBJECTIVES OF THE PROPOSED NATIONAL PROGRAM FOR LIBRARY AND INFORMATION SERVICES

NATIONAL PROGRAM OBJECTIVES

- Ensure that basic minimums of library and information services adequate to meet the needs of all local communities are satisfied.
- Provide adequate special services to special constituencies, including the unserved.
- Strengthen existing statewide resources and systems.
- Ensure basic and continuing education of personnel essential to the implementation of a National Program.
- Coordinate existing Federal programs of library and information service.
- Encourage the private sector (comprising organizations which are not directly tax-supported) to become an active partner in the development of the National Program.
- Establish a locus of Federal responsibility charged with implementing the national network and coordinating the National Program under the policy guidance of the National Commission.
- Plan, develop and implement a nationwide network of library and information service.

SOURCE: Adapted from the NCLIS report, Toward A National Program for Libraries and Information Services, USGPO, Washington, 1975, pp. 39-48.

EXHIBIT 8.3: FEDERAL RESPONSIBILITIES PROPOSED BY THE NATIONAL COMMISSION ON LIBRARY AND INFORMATION SCIENCE FOR THE NATIONAL PROGRAM

FEDERAL RESPONSIBILITIES FOR THE NATIONAL PROGRAM

- To encourage and promulgate standards.
- To make unique and major resource collections available nationwide.
- To develop centralized services for networking.
- To explore computer use.
- To apply new forms of telecommunications.
- To support research and development.
- To foster cooperation with similar national and international programs.

SOURCE: Adapted from the NCLIS Report, Toward a National Program for Libraries and Information Services, USGPO, Washington, 1975, pp. 50-60.

The Library of Congress has been taking an active role in planning for a nationwide network of library and information services. As an indication of its commitment to a leadership role in the design and development of the library bibliographic component of the nationwide network, the Library of Congress established the new position of Director of the Network Development Office in February of 1976.[1] The Director, Henriette Avram, has been meeting with the Library of Congress Network Advisory Group--representatives from ongoing systems--to explore the requirements and the possibilities for increased cooperation among components of the evolving national network. The report resulting from this activity, Toward a National Library and Information Service Network: The Library Bibliographic Component, provides a forum for discussion and a basis for building the bibliographic component of a national network. It contains the goals, assumptions, objectives, and functions for the network and its bibliographic component.

This National Advisory Group sees the network as consisting of three coordinated parts:

- A Resource System designed to insure that needed materials are collected and made available for users;
- A Bibliographic System designed to provide a unique authoritative bibliographic description for each item held in guaranteed areas, as well as the locations of such materials; and
- A Communications System designed to provide on-line communication of bibliographic data and requests for data and services between levels of the network.[2]

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[1] Avram and Maruyama, Op. Cit., p. 12.

[2] Recommended in Westat, Inc., Resources and Bibliographic Support for Nationwide Library Program; Final Report to the National Commission on Libraries and Information Science, Rockville, Maryland, 1974.

First priority is given to the development of the bibliographic and communications systems. However, it has been noted that work should begin soon on the resource system so that it will not be out of phase with the other components.

The report presents recommendations for the role of the Library of Congress in the evolving national network and tasks for the network coordinating agency and for the operational units of the Library of Congress. The Council for Computerized Library Networks (CCLN) has appointed a subcommittee to prepare a draft statement of the role of State and multistate networks in the bibliographic component of the national network. The LC Network Office working with the Network Advisory Group will continue as coordinators until the legal and organizational structure of the network has been determined. The following tasks have been given the highest priority:

- Expansion of the LC national bibliographic service;
- Design of the network configuration or architecture; and
- Design of the legal and organizational structure for the bibliographic component of the network.

The complete list of tasks described in the document provides a blueprint for the development of the library bibliographic component of the National Library and Information Service Network for approximately the next three years.

The White House Conference on Library and Information Services, to be held in September 1979, and the State and Territorial conferences which will precede it, are viewed by NCLIS (and others) as a vital element in its plans for implementing its national program:[1]

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[1] Alphonse F. Trezza, "White House Conference on Library and Information Services," *The Bowker Annual of Library and Book Trade Information*, 22nd Edition, New York, R. R. Bowker Co., 1977, p.28.

> It [the conference] will provide the means for the citizens of each State to assess their needs and resources, establish their priorities, and report their conclusions in a common format which will enable the integration of data into a coherent picture of the needs of the nation as a whole.[1]

The goal of the national conference is to improve the nation's libraries and information centers through increased and more effective public use of all types of libraries and through a balanced, intergovernmental system of services and funding. NCLIS is responsible for planning and conducting the conference, with the assistance of a 28-member advisory committee (P.L. 92-568).

Implications for a Federal Role in Library Cooperation and Networking

Our assessment of the state-of-the-art of networking is that much has been accomplished in a relatively short period of time in the area of on-line computerized networks. In our opinion, however, it has been a low-risk undertaking; OCLC and the information retrieval system offer services using a service center model that does not commit members to continue buying services. This concept is fine and most likely contributed to OCLC's success. However, the thorny problems of users obtaining access to information and library resources have yet to be resolved. With the machine-readable data bases now in operation, the potential exists for an on-line catalog or location directory of resources. A subsequent stage of network development will have to explore means of sharing responsibilities for developing the collections already in data files that provide the location information. This is a difficult problem because it involves dependency on others to insure access to needed materials.

In examining this projection of a future library network and its requirements, we can identify several characteristics that will have implications for the Federal role in libraries. First, there is a need to cross organizational and jurisdictional boundaries at the local, State, and Federal levels. The organizations are not limited to the different types of libraries (academic, school, public, special), but also include the private/commercial sectors such as the various firms that provide services to libraries. Second, research and demonstration need to make full use of the computer and telecommunication technology that is available for network purposes and to explore new organizational patterns.

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[1] *Ibid*, p. 28.

The phenomenon which has resulted in increased concern about the future of networking and the Federal role is the machine-readable data base that is being jointly created and used by network members. New ways of linking organizations and of using information are required. There are nationwide implications which cannot be addressed by State and local governments and institutions without some form of coordination at the national level.

8.2: OVERVIEW OF THE OPERATIONAL COMPONENTS OF THE LSCA III PROGRAM

This overview of the components of Title III of the Library Services and Construction Act presents a description of the purpose, scope, funding formula, and management practices of the Program.

The purpose of this Program is to provide categorical grants to States to assist them in establishing and developing local, regional, State and/or multistate cooperative networks of libraries for the systematic and effective coordination of resources of school, public, academic, and special libraries and information centers. Ideally, the user of any one type of library can draw on the resources of all libraries and information centers. As defined in the Program's regulations, this means that LSCA III funds are intended to be used "solely to pay the cost of carrying out the State plan as it relates to interlibrary [multilibrary] cooperation including, a) planning for, and taking other steps leading to the development of interlibrary cooperation, and b) programs and projects of interlibrary cooperation."[1] There are a variety of activities falling within this general definition of the scope of LSCA III.

The LSCA III Program is State-based, but prior to receiving funds the States must comply with seven LSCA requirements"

- To develop an approved five year, long-range program of library services;
- To develop an approved basic State plan;
- To submit an annual plan or program for interlibrary cooperation for each funding year;
- To submit a project report at the end of each funding year;
- To establish a State Advisory Council for advice on library service planning at the State Library Agency;
- To emphasize needs assessment; and
- To emphasis evaluation.

In essence, the LSCA Program's regulations require that the States develop a mechanism to assess library services needs, to develop a long-range plan to meet these needs, and to provide an annual plan of progects to implement and update the plan. The State Advisory Council provides citizen and professional input. LSCA III projects, that is, those cooperative and networking activities which the States provide with LSCA III funds, are but one component of the total effort to implement the State Plan for Library services.

The grants are made to States according to a formula based on total resident population, with a minimum allotment of $40,000 to the 50 States, Washington, D. C., and Puerto Rico; and $10,000 to Guam, American Samoa, and the Trust Territories. Unlike LSCA I, the States are not required to match or supplement LSCA III funds. The funding levels for LSCA III, since its inception in 1967, are summarized in Table 8.1. As can be seen, the amount of funds

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[1] Federal Register, Vol. 39, No. 232, December 2, 1974, p. 41715.

TABLE 8.1: SUMMARY OF FUNDING OF LSCA III: FISCAL YEAR 1967 THROUGH FISCAL YEAR 1977 (in millions)[1]

Fiscal Year	Congressional Authorization	Administration Budget Request	Appropriation	Cumulative Total
FY 1967	$ 5.0	$ 3.75	$3.75	$ 3.75
FY 1968	7.5	5.00	3.75	7.50
FY 1969	10.0	4.00	2.28	9.78
FY 1970	12.5	2.50	2.28	12.06
FY 1971	15.0	2.28	2.28	14.34
FY 1972	15.0	2.28	2.64	16.98
FY 1973	16.5	2.73	7.50[2]	24.48
FY 1974	17.3	2.73	2.59	27.07
FY 1975	18.2	0.00	2.59	29.66
FY 1976	18.2	0.00	2.59	32.25
FY 1977	18.2	0.00	2.59	34.84

Source: Interim Report No. 2, Applied Management Sciences, August 1977.

[1] Figures have been rounded to the nearest $10,000.

[2] The Fiscal Year 1973 appropriation totalled $7.5 million, however the Nixon administration impounded all but $2.73 million. The remaining funds were eventually released to the States in Fiscal Year 1974.

authorized for LSCA III has risen since 1967, but appropriations have decreased or remained the same.

In effect, the LSCA III grant (and the LSCA I grant) provides the State Library Agency with discretionary funds which can be used to address needs and offer services that may not be otherwise possible with State and local funds.

The prime responsibility for implementing this Program rests with the Office of Libraries and Learning Resources (OLLR) at the U.S. Office of Education. Until recently, the administration was regionalized and ten library Regional Program Officers (RPOs) at the HEW/OE Regional Offices worked with the States. USOE approves State plans, channels funds to the States, and to the extent possible, monitors activities supported with LSCA funds. Reorganization of the U.S. Office of Education has meant that the Program has been completely recentralized and as of January 1, 1978, the administration will be reorganized. The Program staff will assume responsibility for monitoring State LSCA activities, providing technical assistance, and attempting to develop liaison with other Federal agencies.

In addition to overseeing the distribution and use of funds, USOE also conducts management reviews of State Library Agency LSCA operations. A review team, comprised of the RPO;[1] a representative from OLLR; Federal personnel borrowed from other USOE Programs; and, at the discretion of the State Librarian, a member of the LSCA State Advisory Council, conduct a comprehensive review of planning, evaluation, management, and funding practice. The purpose of this review is to improve the administration of LSCA I and LSCA III at the State level. The reviews have tended to be quite intensive, are favorably regarded by the State Library Agencies, and are expected to continue in the future.

When contrasted with other categorical assistance programs administered by USOE, a number of observations about management practices are suggested. First, the regulations governing eligibility, use of funds, and reporting are not highly specific especially as they relate to LSCA III. The primary emphasis of the long-range program is library services, in particular, LSCA I supported efforts. The relationship of LSCA III to LSCA I is not clearly delineated in the regulations. Some observers might suggest that this provides the States with the latitude needed to meet specialized circumstances unique to individual States. This is, of course, true, but as we shall demonstrate, one of the affects has been uneven use of the planning and coordination aspects inherent in the legislation. This same condition extends to the growing emphases on needs assessment and evaluation.

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[1] Prior to recentralization.

The regulations for this Program are not specific in defining what interlibrary cooperation and networking are, although many consider this Program the major source of support in this area. The States have been left to define these critical concepts resulting in a continuum of cooperative activities ranging from meetings of librarians to discuss recent books to highly sophisticated computerized library networks serving libraries in many States. Many of the innovative approaches have developed outside LSCA III. In short, it is difficult to identify a common conception of what interlibrary cooperation is now or what it should be in the future. Until recently, the Regional Program Officers provided guidance in this area. For example, some RPOs advised States that LSCA III could be used to support membership in multistate networks.

A third question centers on the reporting component associated with management of LSCA III. Reporting requirements are very general. The data reported by the States do not provide useful information that can be applied to management tasks. This same problem was noted with regard to LSCA I in an earlier evaluation completed in 1974.[1]

These observations are made with the full and complete understanding of the circumstances affecting management of the Federal level. LSCA III has received low priority in funding requests. The Program is directed toward assisting governmental agencies, not individuals of well defined constituency groups. It is a small program when contrasted with other programs in USOE. Finally LSCA III is a program of categorical grants to the States and prior to this report, determining the appropriate Federal role was difficult.

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[1] Donald Black, H.R. Seiden, A.W. Luke, Evaluation of LSCA Services to Special Target Troups: Final Report, System Development Corporation, July 1973.

8.3 LEGISLATIVE HISTORY OF LSCA III

This section presents a brief legislative history of Title III, Interlibrary Cooperation, of the Library Services and Construction Act (LSCA III). A more detailed history is presented in Appendix B along with this legislation.

Although Title III of the Library Services and Construction Act was enacted in June of 1966, the Act itself had been providing funds to the States since 1956. In that year, the Library Services Act was signed into law for the purpose of providing library services to rural areas that were unserved or underserved. The law underwent a variety of changes to include urban areas in the States, provide public library construction funds, and to provide services to the institutionalized. In 1964 it assumed its present name.

In 1966, the law was expanded to embrace interlibrary cooperation or what is referred to as LSCA III. The concept of interlibrary cooperation enjoyed widespread support in the House and Senate. Although LSCA I already supported interlibrary cooperation, the Congress determined that interlibrary cooperation required the emphasis that a separate Title would provide. The expectation was that this emphasis would lead to greater coordination, standardization, and innovation at the national level and that the end result would be good library services. Funding of this Act initially required a 50/50 matching of Federal and State funds.

1970 marked a major turning point in LSCA III's brief history. The Nixon Administration sought to consolidate all Titles of the

Act and reduce reporting requirements, thereby strengthening efforts to decentralize control of Federal programs. The library community resisted this effort and Congress chose not to consolidate the Act. In addition, the Federal share of funding rose to 100 percent, with matching State funds no longer required.

In 1974, the Ford Administration attempted to change the legislation by introducing the Library Partnership Act (LPA). The proposed act would have consolidated the Titles of LSCA into a single program of discretionary demonstration grants. This program would have shifted the Federal government away from supporting library services and construction. (LSCA II has not been funded since 1973). Indeed, the Federal role would have been one of supporting innovative developments which would increase the efficiency and effectiveness of library services. The intent of LSCA III would have been retained and, in effect, the HEA II-B Library Research and Demonstration Program would be expanded. Congress rejected these efforts in 1974 and 1975.

The trends in legislation affecting LSCA III as well as USOE's policy toward the LSCA III Program demonstrate certain well defined patterns. First, Congressional support for LSCA III has been strong. This is evidenced by the support given library legislation at key points in LSCA's history. Congress has consistently appropriated funds in spite of past Administration requests not to fund LSCA III. However, funding levels of appropriated monies have been, without exception, far below Congressional authorizations.

The legislative intent of LSCA III appears to be that it: 1) promote the systematic use of funds by libraries of all types to assure their maximum effective use by supporting the growth and development of cooperative networks; 2) stimulate the States to greater activity in this area resulting in greater efficiency and effectiveness of service through elimination of overlapping or duplication of services; and 3) bring a wider range of print and non-print materials to a broader segment of the population. The analysis of data presented in Chapter 9 indicates the extent to which the legislative intent for LSCA III has been met.

9

LSCA III:

IMPACT ON THE DEVELOPMENT AND EXPANSION OF INTERLIBRARY COOPERATION AND NETWORKING

The impact of a program must be determined so that decisions can be made regarding the continuation of that program in its present or an altered form. This chapter assesses and answers the question of what impact the Federal Program to implement LSCA III, Interlibrary Cooperation, has had on the development and expansion of interlibrary cooperation and networking. The chapter is presented in four sections. The first section examines the extent to which LSCA III has contributed to the development of multitype library cooperatives and networks. This section is followed by an examination of the extent to which LSCA III has impacted library services. It should be noted that this section is not intended to address the subject of impact upon users. This is due largely to the nature of most cooperative ventures which most often have indirect impact on users (e.g., a union catalog used by a librarian to locate materials for a user located in a different library). The third section of the chapter provides a more detailed description of the services provided by library networks and cooperatives that received LSCA III funds during Fiscal Year 1976. The purposes of this description are 1) to provide a profile of the state-of-the-art of LSCA III projects, 2) to determine if the use of LSCA III funds is in line with expectations, and 3) to determine what changes, if any, might be required. The chapter concludes with a discussion of the extent to which the States have become involved in multistate networks, cooperatives, and compacts and the role of LSCA III in supporting this involvement.

9.1: IMPACT OF LSCA III ON THE DEVELOPMENT AND EXPANSION OF MULTITYPE LIBRARY COOPERATION AND NETWORKING

Over the last 12 years there has been a growing emphasis on the use of cooperation and networking to improve the capacity of libraries, particularly public libraries, to provide better library services. LSCA III has played a significant role in this trend and represents the only Federal legislative action which specifically provides funds for multitype library cooperation. *Along with the other Titles which make up the Library Services and Construction Act, LSCA III has contributed rather substantially to the centralization of planning and administration of library services at the State level. In addition, this study has found that:*

- *During Fiscal Year 1976, in excess of $39.82 million was reported as being spent on multitype library cooperation and networking activities;*
- *In only 19.6 percent of the States and Territories, was LSCA III the sole source of funds supporting multitype library cooperation in Fiscal Year 1976;*
- *In 51.8 percent of the States, an average of $148,979 in LSCA I funds were used during Fiscal Year 1976 to support projects which conformed to LSCA III's emphasis on interlibrary cooperation;*
- *In 35.7 percent of the States, the LSCA III Program has been credited with influencing changes in legislation favorably affecting library cooperation and networking;*
- *Of the 109 cooperative and networking projects receiving LSCA III funds,*[1] *only 11 percent were limited to one service or activity;*

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[1] A total of 112 projects received LSCA III funds in Fiscal Year 1976. This finding refers to the 109 projects that provided usable data.

- *Among State Librarians and Directors of cooperative projects receiving LSCA III funds in Fiscal Year 1976, 87.5 and 87.9 percent, respectively, stated that development of library cooperation and networking would have been less extensive or not possible without Federal support in the form of LSCA III funds; and*
- *The four most frequently provided cooperative and networking services were: routing of interlibrary loan requests (59.3 percent of all projects); reference and referral (55.6 percent of the projects); planning (53.7 percent of the projects); and continuing education and training (51.9 percent of the projects).*

These highlights suggest strongly that the Program, despite its comparatively low funding level (averaging $50,000 for each State), is meeting its legislative intent. This should not be interpreted as meaning that little or no room is left for improvement. On the contrary, if the projects receiving LSCA III funds in Fiscal 1976 are any indication, much of the cooperative activity receiving LSCA III support is directed toward improving the capacity of the States to provide library services or is part of an established service. This does not mean that the States are building or otherwise modifying their collections and holdings. Rather, much of this developmental or capacity building activity is directed toward improving user access to library resources. But in terms of the model presented in Chapter 2, LSCA III is also being used to support cooperative and networking services that are part of the States' basic services. While this is acceptable, it may not be the most effective use of limited Federal funds.

A detailed analysis of findings relating to the impact of LSCA III is presented below.

LSCA III as a Force Behind Cooperation and Networking

LSCA III was viewed as an important impetus behind multitype library cooperation at the State level. Table 9.1 summarizes the extent to which State Librarians and directors of cooperatives and networks receiving LSCA III funds viewed the importance of LSCA III.

TABLE 9.1: STATE LIBRARIAN AND LSCA III PROJECT DIRECTOR PERCEPTIONS OF THE EXTENT TO WHICH LIBRARY NETWORKS AND COOPERATIVES WOULD HAVE DEVELOPED IN THE STATES WITHOUT LSCA III FUNDS 1/

	Extent of Network and Cooperation Development				
Respondent Type	More Extensive	Same as Now	Less Extensive	Projects would Not Have Started	Total
State Librarians[2]					
States using LSCA III only to support projects	0.0% (0)	0.0% (0)	50.0% (5)	50.0% (5)	17.9% (10)
States using LSCA III in combination with other funds to support projects	2.8% (1)	5.6% (2)	44.4% (16)	44.4% (16)	63.6% (35)
States supporting projects solely with LSCA III and with combined funds	10.0% (1)	20.0% (2)	50.0% (5)	20.0% (2)	19.9% (10)
Total	3.6% (2)	7.1% (4)	46.4% (26)	41.1% (23)	100.0% (55)
LSCA III Project Directors					
Projects completely dependent on LSCA III	2.4% (1)	4.8% (2)	61.9% (26)	31.0% (13)	39.6% (42)
Projects using multi-source funds	3.1% (2)	7.5% (5)	57.8% (37)	29.7% (19)	60.4% (63)
Total	2.8% (3)	6.6% (7)	60.0% (63)	30.5% (32)	100% (105)

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[1] Total column frequencies are shown in parentheses.

[2] Classification of States is derived from funding patterns exhibited in LSCA III projects reported in Fiscal Year 1976.

Very few (less than 4 percent) of the State Librarians and Project Directors believed library networking would have developed without LSCA III. Although State Librarians, who have been able to generate State and other funding for networking and cooperatives, were less inclined to attribute the growth of networks to the presence of LSCA III, they did indicate that LSCA III had played a significant role in supporting multitype library cooperation. This same view was characteristic of those persons who directed projects receiving LSCA III funds in Fiscal Year 1976. In fact, one of the points heard repeatedly during the case studies of LSCA III was that, while LSCA III funds were insufficient, the Federal emphasis on multitype library cooperation and networking has been of significant value in promoting cooperation and networking among librarians.

Integration of LSCA III into State Long-Range Programs for Library Services

Another dimension of LSCA III's impact upon the development and expansion of a multitype or intertype library cooperation, is the extent to which the States have incorporated the goal of LSCA III into their own LSCA III programs.[1] If the States have uniformly adopted this goal and are striving to achieve it through library cooperation and networking projects, then at least the groundwork for cooperation and networking is set. *The results of this study revealed that the majority of State Librarians (64.8 percent) believed that there was a perfect match between the Federal LSCA III objectives and their own objectives for library cooperation.* However, when the data are examined with the States categorized according to whether or not they have used LSCA III as seed money, this trend differs. In States which have used LSCA III as seed money, only 50 percent of the State Librarians believed that the Federal objectives corresponded with their own.

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[1] This goal or objective as stated in the legislation is "... to provide for the systematic and effective coordination of the resources of school, public, academic and special libraries and special information centers for improved services of a supplementary nature to the special clientele served by each type of library center."

For the 19 States with discrepancies between the Federal and State LSCA III objectives, the following reasons for differences in objectives were given most often. Nearly three-fourths of these State Librarians (14) indicated that the State Long-Range Program objectives were more specific than the Federal objectives; conversely, eight of these State Librarians reported that the Federal objectives were more global and general than the long-range plans developed in their State. Finally, five State Librarians in this group indicated that their State objectives were guided by needs assessments and, thus, differed from the Federal objectives.

When the function of LSCA III in the Long-Range Program was examined, two LSCA III roles were identified most often: the coordination of resources of all types of libraries (cited by 28.6 percent of the State Librarians) and the stimulation of cooperation and networking (cited by 35.2 percent of the State Librarians). These roles were cited with similar frequency by States using LSCA III as seed money and by States that did not use LSCA III in this manner.

Impact of LSCA III on State Legislation

The impact of LSCA III on the development and expansion of multitype library cooperation and networking can also be measured by examining the effect of LSCA III on State legislation. *Twenty States (36.7 percent) reported that LSCA III produced specific changes in State legislation which facilitated efforts to develop multitype library cooperation. The majority of these changes enabled the State Library Agencies to reach beyond public libraries and involve other types of libraries in their networking and cooperation projects.* Commitment to multitype library cooperation and networking in the form of funded legislation similar to LSCA III has occurred in only two States, however. Whether or not these changes in legislation would have taken place if the LSCA III Program had not been present, is not known for certain. It is reasonable to conclude, however, that the presence of LSCA III (and LSCA I), as a Federal initiative and as a source of outside funding, assisted the library community and the State Library Agencies in making legislative changes in the 20 States noted here.

Use of LSCA I to Support Cooperation and Networking

An important issue pertaining to the impact of LSCA III in developing and establishing multitype library cooperation and networking is the relationship of LSCA III to other funding sources, particularly LSCA I. This issue is particularly relevant because of the comparatively small amount of the LSCA III grant received by the States each year.

The LSCA I has been used to fund projects conforming to LSCA III goals. There are a number of reasons for this. First, the use of LSCA I funds is not restricted by State regulations. Also, LSCA III funding is low in comparison with other funds. *Over half of all States (51.8 percent or 29) reported that, during Fiscal Year 1976, they administered projects conforming to the LSCA III emphasis on multitype library cooperation but supported these projects with funds other than LSCA III.*

As can be seen in Table 9.2, the funding level of projects conforming to LSCA III emphasis but receiving support other than LSCA III was approximately $5.7 million in Fiscal Year 1976. Of this amount, 49 percent was derived from LSCA I, almost equalling the total Federal funding level of LSCA III during Fiscal Year 1976. Those States which supported multitype library cooperation and networking projects with LSCA III and other funds represented most of the States using LSCA I. The average amount of LSCA I funds used by

TABLE 9.2: SUMMARY FUNDING CHARACTERISTICS OF PROJECTS FUNDED WITH LSCA I AND OTHER FUNDS AND COMFORMING WITH THE LSCA III EMPHASIS ON MULTITYPE LIBRARY COOPERATION BY USE OF LSCA III FUNDS FOR STATES REPORTING PROJECTS OF THIS TYPE

	Total			LSCA I Funds			Other Funding Sources		
Use of LSCA III Funds in FY 1976 [1]	Total Funding Level	Average Funding Level [2]	No. of States	Total LSCA I Funds	Average LSCA I Funds	No. of States	Total Other Funds	Average Other Funds	No. of States
States supporting projects with LSCA III only	$ 346,025	$ 89,001	5	$ 343,597	$ 68,719	5	$ 2,428	$ 2,428[3]	2
States supporting projects with LSCA III and other funds	3,364,096	212,168	18	2,001,272	125,079	16	1,362,824	85,176	16
States operating projects of both types	2,026,695	513,830	6	469,806	117,451	4	1,556,889	51,896	3
Total	5,736,816		29	2,814,675		21	2,922,141		21

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[1] Use of LSCA III funds is defined as whether or not the State was dependent upon LSCA III to support its cooperative projects during Fiscal Year 1976. Funding data reported in this table pertains to projects which the States do not report as "LSCA III projects."

[2] Within each of the three major columns, the average funding level may reflect fewer than the total number of projects reported. The reason for this is that some States were unable to report exact funding information.

[3] Only one project reported non LSCA I funds in this category.

those States was almost double ($125,000 versus $69,000) that of States dependent upon LSCA III, and was somewhat higher than for those States which fall into both categories.

There may be some over-reporting of funds for two reasons. Some States considered LSCA I, III, and State monies as a single fund. Second, the total reported funding level of a project may include funds for activities which fall outside the realm of LSCA III. Case study data indicated that one large State with a highly developed system of 20 intrastate cooperatives receiving the bulk of the LSCA funds, reported that between 5 and 30 percent of those funds were used to directly support LSCA III-type activities. *In spite of possible over-reporting of funds, it is clear that the States have 1) accepted the importance of multitype library cooperation, and 2) are using other funding sources to support cooperative projects.*

The use of $5.7 million of LSCA I funds as described above, as well as the use described later, to achieve LSCA III goals raises several questions:

- Is too little money available to attain LSCA III goals?
- Is the use of LSCA I funds in this way justifiable because attaining LSCA III goals assists the attainment of LSCA I goals?
- Is the field setting priorities and initiatives and using LSCA funds to respond to those initiatives?
- Are many States finding that they need additional Federal funds to achieve LSCA III goals?

The case studies suggest that all of these conditions exist. Although many States were using a substantial amount of State funds for LSCA III-type projects, they still needed more funds than LSCA III provided to achieve the goals of the LSCA III program.

Use of LSCA III as Seed Money

There is a definite trend in the use of LSCA III as seed money to start cooperative and networking projects. Table 9.3 provides a summary of funding characteristics of cooperative and networking projects begun with LSCA III that were supported with other funds in Fiscal Year 1976. Twenty States reported such projects.

TABLE 9.3 SUMMARY FUNDING CHARACTERISTICS OF COOPERATIVE AND NETWORKING PROJECTS BEGUN WITH LSCA III FUNDS AND FUNDED IN FISCAL YEAR 1976 WITH OTHER FUNDS BY STATE USE OF LSCA III FUNDS

	Total			LSCA I Funds			Other Funding Sources		
Use of LSCA III Funds in FY 1976 1/	Total Funding Level	Average 2/ Funding Level	No. of States	Total LSCA I Funds	Average LSCA I Funds	No. of States	Total Other Funds	Average Other Funds	No. of States
States using LSCA III only support projects	$2,416,302	$121,067	3	$ 35,080	$ 17,540	2	$2,381,222	$1,190,611	2
States using LSCA III in combination with other funds to support projects	3,409,721	316,257	13	722,614	180,653	5	2,687,107	244,282	12
States supporting projects solely with LSCA III and with combined Funds	460,115	259,974	4	294,115	73,528	4	166,000	83,000	3
Total	6,286,138		20	1,051,809		11	5,234,329		17

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[1] Use of LSCA III funds is defined according to whether or not the State was dependent upon LSCA III to support its cooperative projects during Fiscal Year 1976. Data reported in this table pertains to projects which they do not report as "LSCA III projects."

[2] Within each of the three major columns, the average funding level may reflect fewer than the total number of projects reported. The reason for this is that some States were unable to report exact funding information.

Again, LSCA I was used actively (data on many of the projects summarized here were also summarized in the preceding Table 9.2), but State and local funds were the most significant source of funds. *Of the approximately $6.3 million expended on projects begun with LSCA III, but supported with other funds in Fiscal Year 1976, 83 percent was derived from State and local funds.*

In the two States which supported multitype cooperation projects in Fiscal Year 1976 with LSCA III funds only, almost $2.5 million was expended to support the projects started up with LSCA III. The projects reported to have been started with LSCA III funds were, for the most part, also funded by other sources, and it would be misleading to suggest that LSCA III was the sole impetus. LSCA III funds account for only a small portion of funds available to State Library Agencies. However, it would be incorrect to conclude that LSCA III has not impacted the development of multitype library cooperation. *The data indicate that cooperation and networking activities can and are supported by non-LSCA III funds, once these activities have been integrated into basic library services.*

Restricted and Halted Development of Cooperation and Networking Projects Started with LSCA III

In contrast to the trend of continuing cooperative and networking projects begun with LSCA III, there was also a minor trend of project discontinuation and restricted growth. Seven States (12.5 percent) reported that due to unavailability of funds it was necessary to stop or discontinue a project begun with LSCA III. Growth of projects begun with LSCA III funds has been restricted in 14 States (25 percent). Of these States, seven reported having one restricted project, five reported having two projects of this type, and two States reported having three such projects. Thus, since 1968, 23 projects begun with LSCA III were reported to have been restricted in their growth due to lack of funds. This number is surprisingly low given the belief the LSCA III is underfunded. *Yet the case study data indicated that because of LSCA III's low funding level and unpredictability of funding from year to year, there was an unwillingness to begin new projects with LSCA III funds. The States would prefer to continue supporting successful ongoing projects.*

Seven States reported having to discontinue projects begun with LSCA III because of shortcomings in the projects' operation, management, or services. Of these seven States, five States had to stop one project, and two States had to stop two projects. The major reasons given for discontinuation were inadequate staff and lack of user support.

LSCA III has had a definite, positive impact on the development of multitype library cooperation. In the next section, the implications of cooperation and networking for library services are examined.

9.2: IMPACT OF LSCA III ON LIBRARY SERVICES

The task of addressing LSCA III's impact on library services to users was particularly difficult for a number of reasons. First, much of the networking and cooperative activity engaged in by the States did not directly affect the user (with the possible exception of interlibrary loan and reference). While the case studies indicated that library users were affected by LSCA III project services, we are reluctant to base judgments on this because there is no clear indication of which funding sources supported these services.

This does not mean that LSCA III has not had an impact on library services. To the extent that the States have improved their ability or capacity to upgrade and extend services through multitype library cooperation and networking, library services have benefitted.

A number of new products, services, and changes were identified as directly attributable to LSCA III. Furthermore, a series of services provided by the library cooperative and networking projects receiving LSCA III funds in Fiscal Year 1976, suggested the nature of the Program's impact on library services. Finally, State Librarians and directors of cooperative projects indicated that LSCA III supported cooperation and networking have had a positive impact on library services.

Table 9.4 summarizes the extent to which new products and services were attributed to LSCA III. *The three most significant cooperative and networking activities that State Librarians attributed to LSCA III were: participation in intrastate and multistate cooperative projects; staff development;*[1] *and installation of TWX equipment in libraries. These outcomes or products derived from LSCA III are particularly noteworthy because their presence suggests that LSCA III has historically been used to support library capacity building and the provision of services to users. LSCA I has also contributed to capacity building; over 50 percent of the States reported using LSCA I funds to support LSCA III type projects.*

An examination of the self-described major services of all LSCA III cooperative and networking projects funded in Fiscal Year 1976, underscores the indirect nature of LSCA III's impact on library services. *The services most often cited as major project activities were the following:*

- *Resource sharing and interlibrary loan, reported by 57 percent of the projects;*
- *Reference and referral services, reported by 23.4 percent of the projects;*
- *Continuing library education and training. reported by 23.4 percent of the projects;*[1]
- *Preparation of union lists and catalogs, reported by 20.6 percent of the projects;*

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[1] Responses on the provision of continuing education/training varied according to the source of data (e.g., 67.9 percent, 23.4 percent, and 51.9 percent). The first percentage refects State Library Agency perceptions of the long-term impact of LSCA III. The second and third percentages reflect Fiscal Year 1976 projects but in many cases continuing education/training was regarded as a secondard benefit/service.

TABLE 9.4: PROPORTION OF STATES REPORTING SPECIFIC PRODUCTS SERVICES, AND PROCEDURES RESULTING FROM LSCA III

Product or Service	Percent of States Reporting the Product/Service	Average Number of Products	Percent of States Reporting Product and Able to Estimate Number of Products
Participation in intrastate and multistate cooperative projects	76.8%	3.1	79.1%
Staff development	67.9%	n/a	n/a
Installation of TWX equipment in libraries	62.5%	19.0	80.0%
Implementation of centralized clearing house of requests	57.1%	n/a	n/a
Completion of Special studies	51.8%	2.2	72.4%
Participation in OCLC	37.5%	n/a	n/a
Retention of systems personnel	23.2%	2.5	75.0%
Computer based research services	12.5%	n/a	n/a
Union lists and catalogs	10.7%	n/a	n/a

- *Telecommunications, reported by 13.1 percent of the projects;*
- *Access to library resources, reported by 12.1 percent of the projects; and*
- *Public relations and publicity, reported by 11.1 percent of the projects.*

These services were common to projects supported by LSCA III as well as those projects using LSCA III along with other funds. With the possible exception of interlibrary loan and reference services, however, the above do not directly involve or affect the user.

State Librarians and directors of projects receiving LSCA III funds in Fiscal Year 1976 agreed that LSCA III, as reflected by the projects it supports, has had a positive impact on library services (78.5 and 77 percent. respectively). The case studies provided a clear indication of the impact LSCA III cooperative and networking projects have had on library services. The following is a synopsis of each project and its impact.

- *An ongoing, long-term, specialized, Statewide reference service in Alaska based in the State Library and using a Federal Library information system:* The project provides medical information to the specialized client (health service providers) in a State lacking a major medical training facility. Yet use of the system is low, and the service is not readily applicable to the average patron's needs. The State Library Agency views the project as highly successful. (Total funding in FY 1976: $178,540; total LSCA III grant, $40,756.)
- *A demonstration of an intra-State regional network in California providing TWX-based interlibrary loan services and continuing library education:* As a facilitator of interlibrary loan, the network provides small public libraries with access to highly specialized academic libraries. The network provides quick turnaround on requests and is used by members to obtain additional copies of materials that are in circulation. However, there is concern that interlibrary loan concentrates on a small fraction of the user population and does not address the needs of most users. The project's greatest impact is on the public libraries. (Total funding in FY 1976: $286,399; total LSCA III grant, $85,997.)

- *An ongoing, long-term, Statewide, full service network in Minnesota providing TWX-based library and information resource sharing, delivery services, and continuing education:* Originally begun as a model project, the project now serves 140 libraries of all types. This network is credited with giving libraries the image of an "information access point." Interlibrary loan is routinized and the project is well known among patrons. Cost savings have resulted from shared access to series. *This network is one of a few that are developing a machine-readable data base.* (Total funding in FY 1976: $509,734; total LSCA III grant $48,664.)

- *An ongoing, long-term, Statewide, telephone and teletype reference service in Mississippi based in the State Library:* This project has had a major impace in upgrading interlibrary loan and reference sharing in one of the poorest States, though usage data were not available to document this. The project has not undertaken any major efforts to expand in nine years. (Total funding in FY 1976: $210,278; total LSCA III grant $45,160.)

- *An ongoing, long-term, Statewide, teletype network in New Hampshire based in the State Library Agency and providing reference and interlibrary loan services for academic and public libraries:* The State Library Agency attempts to fill requests rather than act as a clearinghouse. Many public libraries continue to forward requests by mail. Although this project is viewed as the basis for future networking developments, low State funding has been and continues to hinder its growth. (Total funding in FY 1976: $20,151; total LSCA III grant $41,768.)

- *An ongoing, long-term, Statewide, interlibrary loan teletype system in New York serving regional library systems:* This network acts as a clearinghouse for the library material requests of highly specialized researchers who require access to advanced research materials. The network, using a hierarchical design, fills only the most complex of information requests using a group of special libraries. The network has replaced walk-in service, is thought to be slow, but has opened previously unaccessible material to a somewhat larger user population. The project is the core of interlibrary loan in this State. (Total funding in 1976: $363,307; total LSCA III grant $80,567.)

- *An ongoing long-term Statewide reference, communications, and interlibrary loan system in North Dakota:* This network provides access to all library resources in the State and coordinates reference and interlibrary loan requests. Academic libraries are involved but are more inclined to work among themselves. (Total funding in FY 1976: $55,928; total LSCA III grant $41,414.)
- *A long-term, Statewide, centralized acquisitions and processing in Rhode Island closed down by the State in December, 1975:* Although this center was slow, unable to provide specialized services, did not handle all types of library materials (foreign materials), was understaffed, and used a batch processing system, its cessation has resulted in an increased workload for the many small public libraries in this State. (Total funding in FY 1976: $101,000; total LSCA III grant $42,154.)
- *A program of special grants in Texas for a microform cataloging project, a Statewide continuing library education project, and a Statewide library publicity project:* Of the three activities, the continuing education project is ongoing and uses the services of a multistate library association. The microfilm cataloging project was done by a consortium of academic libraries and a multistate network in cooperation with OCLC. The public relations study was contracted out to the State Library Association. Of the three projects, the continuing education and microfilm cataloging projects are the more successful, generating increased interest in library education and providing funds for an experimental project. (Total funding in FY 1976: $29,744; $15,000; and $21,600 respectively; total LSCA III grant $66,344.)
- *An ongoing long-term, Statewide, reference and interlibrary loan system in Virginia based in the State Library Agency:* The project facilitates communication, particularly among academic libraries. Response turnaround time is slow and there is a need to provide members with additional training. (Total funding in FY 1976: $32,244; total LSCA III grant $50,789.)

The case studies reinforce some important points. LSCA III is being used: to supplement or otherwise support ongoing projects; to support library communications projects providing access to library resources (e.g., interlibrary loan and reference); and to improve the capacity of libraries to respond to specialized user needs which only indirectly impacts the library users. Also, LSCA

III is being used directly by the State Library Agencies. In light of the change model outlined in Chapter 2, LSCA III is being used by the States to help support Stage 3 activities (operation and continuation of services), more so than to support the testing of innovative services (State 2). This raises the question of whether or not the Federal Program should cease, or attempt to discourage using the funds for, supporting services; and place greater emphasis upon supporting developmental activity at the State level. If this is not done, some other source of support for Stage 2 activities must be found.

Cooperative networking services may have two effects. The intensity of a cooperative service may increase or librarians may have more time to devote to outreach, special activities such as information and referral, or supporting educational programs such as those falling under the general heading of Adult Basic Education. It is not clear that this is happening, however. Interlibrary loan and reference networks increase access to library resources and also reduce duplicate holdings, and as a result library services must become more efficient. However, many of the cooperative and networking projects have concentrated most heavily upon specialized materials. The same technologies that make this possible need to be extended to other types of resources (e.g., serials, audiovisual materials) to realize real economies, and improved services.

The next section presents findings on the specific services and products provided by cooperative and networking projects receiving LSCA III funds in Fiscal Year 1976.

9.3: SERVICES PROVIDED BY MULTITYPE LIBRARY COOPERATIVES AND NETWORKS RECEIVING LSCA III FUNDS IN FISCAL YEAR 1976

A third key measure of the impact of LSCA III on the development and expansion of multitype library cooperation is the type of services provided by the projects receiving these funds through the State Library Agencies. A variety of services fall within the generic heading of cooperation and networking. For purposes of this study, 19 cooperative services or activities were identified as services offered by cooperative projects operated in Fiscal Year 1976. Table 9.5 summarizes the extent to which each of these services was provided. A wide range of activities was being conducted by the project surveyed. *A total of 663 different instances of providing one or another of the 19 types of services were reported by the 108 projects. Only 10.2 percent of the projects offered a single service.* Of the many services performed, seven were reported by more than 40 percent of the projects.[1] The following services were reported in descending order of frequency:

- Routing of interlibrary loan requests (59.3 percent of the projects);
- Reference services (55.6 percent of the projects);
- Planning (53.7 percent of the projects);
- Continuing education and training (51.9 percent of the projects);
- Public relations and publicity (48.9 percent of the projects);
- Telecommunications (46.3 percent of the projects);
- Participation in interstate networks (45.4 percent of the projects); and
- Preparations of union catalogs and lists (44.4 percent of the projects).

These activities were not mutually exclusive. For example, a number of States belonged to interstate networks for the purpose of participating in a continuing education program or to prepare union catalogs and lists.

Three of the above activities can be described as capacity building activities--planning, continuing education and training, and preparation of union lists and catalogs. All of the activities,

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[1] These seven services were the perceived major services identified by Project Directors when summarizing their own projects.

TABLE 9.5: SUMMARY OF COOPERATIVE LIBRARY SERVICES AND ACTIVITIES PERFORMED BY COOPERATIVE AND NETWORKING PROJECTS RECEIVING LSCA III FUNDS IN FISCAL YEAR 1976 BY WHETHER OR NOT PROJECT WAS COMPLETELY DEPENDENT UPON LSCA III FUNDING

Cooperative Service or Activity	Total Percent of Projects Reporting	Percent of LSCA III Dependent Projects Reporting	Percent of non LSCA III Dependent Projects Reporting	Percent of Time Activity Reported 1/
Routing of interlibrary loan requests	59.3%	44.2%	69.2%	9.7%
Reference services	55.6%	39.5%	66.2%	9.0%
Planning	53.7%	37.2%	64.6%	8.7%
Continuing education and training	51.9%	44.2%	56.9%	8.4%
Public relations and publicity	48.1%	30.2%	60.0%	7.8%
Telecommunications	46.3%	39.5%	50.8%	7.5%
Participation in Inter-State Networks	45.5%	39.5%	49.2%	7.4%
Preparation of union catalogs and lists	44.4%	30.2%	53.8%	7.2%
Reciprocal borrowing privileges	35.2%	23.3%	47.1%	5.7%
Delivery services	27.8%	14.0%	36.9%	4.5%
Clearinghouses	26.9%	20.9%	30.8%	4.4%
Research and development	25.0%	11.6%	33.8%	4.1%
Purchasing of supplies and equipment	24.1%	25.6%	23.1%	3.9%
Sharing and exchange of equipment	16.7%	16.3%	16.9%	2.7%
Cataloging	15.7%	14.0%	16.9%	2.6%
Acquisition and selection of library materials	14.8%	9.3%	18.5%	2.4%
Depositories	6.5%	2.3%	9.2%	1.1%
Learning/Resource Centers	6.5%	7.0%	6.2%	1.1%
Other (development of automated data bases)	6.5%	4.7%	7.7%	1.1%
Warehousing	3.7%	0.0%	6.2%	.6%
Total Number of Projects	108 2/	43	65	

1/ Relative frequencies of number of times activity reported (total reported activities 663), expressed as a percentage of total.

2/ 108 of the 109 projects responding to the survey provided usable data for this table.

with the exception of telecommunications and participation in interstate networks, are traditional rather than innovative.[1] In general, many of these activities helped to strengthen the capacity of libraries; specifically, they helped the State Library Agencies to coordinate or provide services.

Four cooperative services were provided infrequently:

- Warehousing (3.7 percent of the projects);
- Depositories (6.5 percent of the projects);
- Learning resource centers (6.5 percent of the projects);[2] and
- Access to computerized-data bases (6.5 percent of the projects).

In several of the case studies a trend towards identifying warehousing as an emerging need was reported. Because less money is available for library construction, two new problems relating to storage of materials have been encountered. First, there is a growing need to store low demand materials in less expensive common storage facilities accessible by large numbers of libraries. Second, there is also a need to reduce duplicate holdings if one or more copies of a particular item are available regionally.

In summary, the cooperative and networking activities provided by projects receiving LSCA III funds tended to augment existing, traditional, centralized functions. The States appeared intent upon improving/developing the capacity of their systems of libraries to provide services efficiently.

9.4: STATE INVOLVEMENT IN INTERSTATE AND MULTISTATE LIBRARY NETWORKS AND COMPACTS

Multitype library cooperation is not restricted to the confines of each State. Academic libraries, public libraries, and State Library Agencies have long been interested in cooperative ventures involving more than one State. Over the years, several multistate cooperatives and networks have been formed. Examples include: the New England Library Information Network (NELINET); the Southeastern Library Network (SOLINET); and the Southwestern Library Interstate Cooperative Endeavor (SLICE). Multistate ventures such as these may enable the member States to increase the effectiveness of library services that can best be provided on a large scale. LSCA III has played a role in this movement, because of its emphasis on interlibrary and multistate cooperation and because numerous States have used portions of their LSCA III grants to offset membership costs.[1] An analysis of the extent to which this has occurred is presented in the following discussion.

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[1] The case studies of LSCA III conducted as part of this study indicated that the majority of LSCA III funds have been used to support existing services with little or no movement toward using LSCA III as risk capital.

[2] Reporting of this service may have been under-represented because a clear definition of this concept is lacking.

State Involvement in Multistate Cooperation and Networking Efforts

Almost half of the State Library Agencies (46.4 percent) reported membership in multistate library compacts. Of the remaining 30 States, six were planning to join multistate library compacts in the near future (within two years). Furthermore, nearly three-fourths of all State Library Agencies (72.7 percent) reported that their State was a member of a multistate cooperative project and/or network. Of the 15 States which were not members of multistate networks, one-third were planning to join one within the next two years. These findings indicate that participation in multistate ventures, as measured by membership, is widespread and that State Library Agencies are taking an active role in multistate projects.

Slightly more than half (52.3 percent) of all library cooperation and networking projects receiving LSCA III funds in Fiscal Year 1976 reported participation in interstate or multistate networks. In response to a request to identify noteworthy cooperative activities directly attributable to LSCA III (funds/emphasis), 21 (37.5 percent) States reported that they were participating in the Ohio College Library Center (OCLC)--a multistate network.

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[1] Technical assistance provided by Regional Program Officers has stressed that LSCA III funds can be used to support membership in multistate activities.

Participation in multistate ventures is more likely if the State is willing to commit its funds or other funds to support cooperation and networking. Of the 26 States belonging to multistate compacts, 84.6 percent (22) have provided State or other funds to support their cooperative and networking projects. While this does not mean that States not supplementing LSCA III funds did not recognize the value of multistate cooperative ventures, it does support the finding that there must be some degree of commitment by State legislatures and policymakers to support library cooperation and networking. LSCA III can not support this alone. In most States--46 out of 56--that commitment was present.

The States attached a high value to participation in multistate cooperative and networking projects, as summarized below:

- 82.1 percent of all State Librarians agreed that membership in multistate projects increased access to library resources. This was true of States dependent upon LSCA III as well as those which were not;
- 75 percent of the State Librarians viewed membership in multistate projects as a good way to use limited funds;
- 53.6 percent of the State Librarians agreed that membership in multistate projects increased access to library personnel having specialized and unique skills. Only 40 percent of the States dependent upon LSCA III agreed with this;
- Only 17.9 percent of the State Librarians believed that governance disputes caused operational problems and delays; and
- 94.6 percent of all State Librarians did not feel that membership in multistate projects resulted in a disproportionately high demand on their State's library resources and library personnel.

Use of Federal Funds to Support Multistate Cooperation and Networking

Given the above findings, it is not surprising that the States were supportive of using Federal funds to join existing cooperatives and networks. State Librarians and LSCA III Project Directors were

TABLE 9.6: PERCENT OF STATE LIBRARIANS AND LSCA III PROJECT DIRECTORS AGREEING WITH REASONS WHY USE OF FEDERAL FUNDS TO JOIN EXISTING LIBRARY NETWORKS AND COOPERATIVES CONSTITUTES AN EFFECTIVE USE OF FEDERAL FUNDS BY USE OF FUNDS

	State Level Responses				Project Level Responses		
Reason for Effectiveness	States Using LSCA III Only To Support Projects	States Using LSCA III In Combination With Other Funds To Support Projects	States Supporting Projects Solely With LSCA III and with Combined Funds	Total	Project Uses Multiple Funding Sources	Project is Dependent Upon LSCA III Funds	Total
State restrictions make it difficult	10.0%	51.4%	60.9%	45.5% (25) 1/	54.5%	39.5%	48.6% (53)
Federal funds act as an incentive	80.0%	94.3%	100.0%	92.7% (51)	78.9%	81.8%	79.8% (87)
State does not see its role as sponsor of networks	30.0%	11.4%	40.0%	20.0% (11)	19.7%	34.9%	25.7% (28)
State has not recognized need for networks	20.0%	11.4%	60.0%	21.8% (12)	9.1%	25.6%	15.6% (17)

[1/] Row total frequencies are shown in parentheses.
All State Librarians and LSCA III Project Directors responded.

asked to describe why this use of Federal funds was effective or ineffective. *There was overwhelming agreement that joining existing network and cooperative projects using Federal funds is an effective use of those funds.* All but one State Librarian and 4.6 percent of the Project Directors responded in this fashion. Reasons for this effectiveness are summarized in Table 9.6 and discussed below.

There was strong agreement that Federal funds act as an incentive for joining existing networks (92.7 percent of the State Librarians and 79.8 percent of the Project Directors agreed with this statement). There was only marginal agreement that State based restrictions, such as governance and funding control, caused Federal funds to be considered the only funds easily used to support membership in existing networks. However, those States perceived as nonsupportive of networks were also States where cooperative and networking projects had been unable to obtain supplementary funds. This reinforces the importance of generating State involvement in and support of networking.

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LSCA III:
AN ANALYSIS OF FACTORS AFFECTING LSCA III PROGRAM SUCCESS AND SHORTCOMINGS

The previous chapter has demonstrated that LSCA III has had a positive impact on the development and expansion of multitype library cooperation and networking. The Federal emphasis on library cooperation, as well as the infusion of LSCA III and LSCA I funds, has enabled the States to expand their efforts to increase access to library resources, thereby enabling libraries and librarians to provide more extensive services to a greater number of clients. There is, however, a gap between more traditional library cooperative and networking activities currently being conducted and the realization of the goal of expanded services based on these multitype library cooperatives. In terms of the model presented in Chapter 2, this gap indicates that LSCA III funds, instead of assisting States to explore and upgrade existing cooperative services with innovative approaches (arising out of Research and Demonstration conducted in Stage 1), are being used to support the operation of these services (Stage 3).

One reason for this gap can be traced to the fact that LSCA III funds received by most States are quite meager in contrast to other funding sources, such as LSCA I and State funds. A second reason is that States may be reluctant to explore new areas without some assurance that funds will be available. In general, the role of networking and cooperation in the States' long-range programs has not been well defined in terms of specific objectives. In this chapter three facets of the LSCA III Program involving Federal, State, and project actions are examined to identify possible reasons for the aforementioned gap. First, a detailed examination of library cooperative and networking projects receiving LSCA III is provided. Second, the policymaking and needs assessment activities at the State level are examined. Third, the characteristics and impact of Program and project management are explored.

The approach used to examine the data was to contrast States and projects on the basis of whether or not they were dependent upon LSCA III. That is, whether a State used the LSCA III grant as the sole source of funds or as a source of supplementary funds to support library cooperation and networking projects reported to USOE for Fiscal Year 1976. The differences identified through this approach provide a better understanding of the influence of LSCA III.

10.1: OPERATIONAL, FUNDING, AND STAFFING CHARACTERISTICS OF MULTI-TYPE LIBRARY COOPERATIVE AND NETWORKING PROJECTS RECEIVING LSCA III FUNDS IN FISCAL YEAR 1976

The analysis of factors affecting the LSCA III Program's successes and shortcomings would not be complete without examining the characteristics of the library cooperative and networking projects that received LSCA III funds. The 109 projects described here represent 97.3 percent of the 112 projects receiving LSCA III funds in Fiscal Year 1976.[1] In most instances the data are arrayed according to whether or not the project was funded solely with LSCA III funds during that period.

General Characteristics of LSCA III Projects

There are a number of general project characteristics which provide a background for understanding the more detailed data. *First, 85.3 percent (93) of the projects were ongoing projects* expected to continue for an indefinite time. In most cases, these projects were begun prior to 1976. The remaining 14.7 percent of the projects were intended to operate for a short period of time; if the reported completion dates have not changed, most of the projects will have ended before the end of Fiscal Year 1978. A second general characteristic is that of the 16 short-term projects, over half (10 or 62.5 percent) were projects supported solely with LSCA III funds. Third, 39.4 percent (43 projects) were supported by LSCA III funds only, and 60.6 percent (66) of the projects were supported with multiple funding sources. Thus, the majority (93) of projects (85 percent) were long-term projects supported by LSCA III and other funds (LSCA I, State, local). Fourth, the total funding of each project receiving LSCA III funds during Fiscal Year 1976 averaged $152,836. Each LSCA III dependent project received an average total of $19,625 and the projects with multiple funding sources had an average total of $241,637. A total of $27.79[1] million supported the 109 cooperative projects receiving Fiscal Year 1976 funds from LSCA III. Of this total, 20 percent ($2.75 million) was provided by LSCA III; 50 percent ($7.95 million) by LSCA I; and the remaining funds were provided by a variety of sources, including local, State, and other Federal agencies.

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[1] The total number of projects, 112, is based on updated information on projects actually funded, and was provided by the State Library Agencies during this survey which ended in October, 1977.

Fifth, very few projects were funded to provide a single cooperative activity. An average of five different types of cooperative activities were provided by a typical project. Projects using only LSCA III funds provided an average of 4.5 different kinds of services or activities, while those projects supported by LSCA III and other funds provided an average of 7.2 services. Of the 19 cooperative and networking services identified in this study, it was found that of the 109 projects:

- 11 percent provided one service or activity;
- 11 percent provided two services or activities;

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[1] The actual total is $27,795,525.

- 11 percent provided three services or activities;
- 10.1 percent provided four services or activities;
- 10.1 percent provided five services or activities;
- 5.5 percent provided six services or activities;
- 6.4 percent provided seven services or activities; and
- 34.9 percent provided eight or more services or activities.

Regardless of how many activities a project provided, the dominant activities in all instances were resource sharing, interlibrary loan, and reference services.

The less "developed" States tended to concentrate on resource sharing (interlibrary loan and reference), telecommunications, and centralized clearinghouse functions. In the more "developed" States, the LSCA III projects tended to provide the above mentioned services as well as: conversion or updating of union lists to computerized forms, continuing library education, planning, and participation in multistate networks.

Finally, only 10 projects reported having to change or delete an objective. The changed/deleted objectives tended to be of a secondary nature and the reason for deletion reported most often was lack of feasibility. Most projects (84 percent) reported that their objectives were met and 10 percent of the projects reported surpassing at least one project objective.

Cooperative and Networking Services: General Characteristics

Certain characteristics of the cooperative and networking services/activities of the projects under study also indicated some of the factors affecting the impact of LSCA III. These characteristics included: 1) the extent to which the project activities were coordinated and provided by a central organization, by member libraries, or by outside services; and 2) the extent to which the various activities have been automated.

Table 10.1 summarizes the extent to which cooperative and networking services were coordinated and provided by a central organization (project headquarters), member libraries, or outside agencies. Provision of these services, particularly those services involving contact with the user, seemed to be evenly shared between the project headquarters and member libraries. Services provided by outside agencies included delivery of materials, cataloging (e.g., OCLC), and other services requiring expertise or advanced technology (e.g., microfiche conversion). *Computerization has been introduced into cataloging, telecommunications, research and development, and through participation in multistate networks.*

Cooperative and Networking Services: Level of Services

The services that were provided by the multitype library cooperation and networking projects indicated some of the magnitude of the projects' impact. Section 9.2 of Chapter 9 reported on the types of services; this section discusses the magnitude of these services. The data presented here are perhaps the only data on this topic; the information is somewhat limited, however, due to uneven project efforts to maintain usage records. The data in Table 10.2, though slightly difficult to judge because there are no standards for baseline measures (such as past levels of activity), show the levels of activity of certain cooperative and networking activities. *In effect, these data can serve as baseline measures for use in evaluation and program management efforts that USOE might undertake in the future.* In spite of the absence of a comparative data set, a number of patterns was evident. First, the data showed a fairly large discrepancy between the numbers of requests and completed requests for reference and interlibrary loan projects. One reason for this was that the networks must respond to the difficult and specialized requests which the participating library was unable to fill. However, most projects were able to fill more than 50 percent of the reference requests.

TABLE 10.1: SUMMARY OF ORGANIZATIONAL AND OPERATIONAL CHARACTERISTICS OF COOPERATIVE AND NETWORKING SERVICES PROVIDED BY PROJECTS THAT RECEIVED LSCA III FUNDS IN FISCAL YEAR 1976

	Principal Coordinating Agency			Principal Service Provider				
COOPERATIVE SERVICE OR ACTIVITY	Project Headquarters	Member Libraries	Outside Agency	Project Headquarters	Member Libraries	Outside Agency	Percent of Projects Which Computerize The Service	Percent of Projects Also Providing Telecommunications Services
Acquisition and selection of library materials	78,6%	21.4%	-	71.4%	28.6%	-	19.0%	56.2%
Purchasing of supplies and equipment	95.2%	4.8%	-	84.0%	12.0%	4.0%*	7.7%*	69.2%
Cataloging	92.9%	7.1%	-	94.1%	5.9%	-	47.8%	52.9%
Preparation of union catalogs and lists	79.1%	14.0%	7.0%	66.7%	19.4%	13.9%	40.4%	52.0%
Reference services	80.0%	20.0%	-	54.2%	45.8%	-	19.6%	66.6%
Delivery services	88.9%	7.4%	3.7%	54.2%	33.3%	13.5%	3.0%*	73.3%
Reciprocal borrowing privileges	73.5%	26.5%	-	32.1%	64.3%	3.6%*	10.0%	71.0%
Routing of interlibrary loan requests	88.3%	8.3%	3.3%	55.1%	44.9%	-	17.7%	68.8%
Planning	78.4%	19.6%	2.0%	71.7%	28.3%	-	7.4%	58.6%
Warehousing	100.0%	-	-	75.0%	25.0%	-	-	100.0%
Continuing education and training	89.1%	6.5%	4.3%	67.4%	25.6%	7.0%	1.8%*	48.3%
Research and development	87.5%	8.3%	4.2%	86.4%	9.1%	4.5%*	25.0%	66.6%
Public relations and publicity	87.8%	9.8%	2.4%	84.1%	13.6%	2.3%*	2.1%*	53.8%
Sharing and exchange of equipment	80.0%	20.0%	-	46.2%	53.8%	-	4.5%*	50.0%
Telecommunications	76.7%	9.3%	14.0%	64.1%	28.2%	7.7%	32.7%	100.0%
Depositories	100.0%	-	-	80.0%	20.0%	-	14.7%*	100.0%
Clearinghouses	100.0%	-	-	92.0%	4.1%	4.0%	16.1%	51.7%
Learning/Resource Centers	62.5%	25.0%	12.5%	50.0%	37.5%	12.5%	6.36%*	71.4%
Participation in Inter-State Networks	75.0%	20.0%	5.0%	70.6%	27.5%	5.9%	41.3%	63.3%
Other (automated data bases)	100.0%	-	-	85.7%	-	14.3%*	23.1%	14.3%

1/ Percentages are based on total number of projects reporting that they provide a service.

TABLE 10.2: SUMMARY OF ESTIMATES OF ANNUAL LEVEL OF COOPERATIVE ACTIVITY OR SERVICES REPORTED BY 109 OF 112 COOPERATIVE AND NETWORKING PROJECTS RECEIVING LSCA III FUNDS IN FISCAL YEAR 1976

Cooperative Service or Activity	Average Number of Units [1]	Percent of All Projects Providing Service	Percent of Provider Projects Reporting Data
Selection of materials	51,761[2] (12,359)	14.7%	37.4%
Acquisition of materials	36,888[2] (13,080)	14.7%	81.1%
Cataloging of materials	58,543[2] (38,524)	15.6%	76.4%
Preparation of union catalogs and lists	57,724	44.0%	50.0%
Reference requests	11,133	55.0%	61.6%
Reference completions	5,564		
Delivery service	1,059	27.5%	40.0%
Interlibrary loan requests received	27,125[3]	57.8%	49.2%
Interlibrary loan requests filled	5,442		
Continuing education (conferences and workshops)	9.4	51.4%	55.3%
Public relations and publicity (Number of newsletters circulated)	11.4	47.7%	36.5%
Telecommunications (in hours)	5,269	45.9%	26.0%

[1] Averages shown in this table are computed using total levels of activity.

[2] One project reported in excess of 270,000 selections and acquisitions. The figure shown in parentheses is the average computed without that project.

[3] This average is inflated by three projects which reported very high numbers of requests.

Second, few projects were able to provide estimates of on-line telecommunications usage, a networking activity that represents one important aspect of the innovativeness LSCA III is expected to foster. Based on the data reported by 13 projects, it appears that actual usage of TWX, as opposed to availability, is fairly high. Finally, projects that were dependent upon LSCA III for their funding were not maintaining usage data. The reason for this was that those projects combining LSCA III funds with LSCA I and State funds were long-term, continuous projects with an existing capacity to collect usage data and this capacity was not dependent upon or the result of LSCA III.

Staffing of LSCA III Projects

Staffing of the multitype library cooperatives consisted of a combination of library professionals and technical staff. The data indicate that very few projects were heavily staffed.[1] The average number of personnel by category for projects reporting staff was the following:

- Librarians: 252 librarians reported by 79 projects for an average of 3.19 per project;
- Other professionals: 18 other professionals reported by 11 projects for an average of 1.6 per project;
- Computer-related personnel (systems analysts and programmers): 23 computer personnel reported by four projects for an average of 5.8 per project;
- Library technicians and paraprofessionals: 95 library technicians reported by 45 projects for an average of 2.1 per project; and

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[1] In interpreting these data, it should be noted that LSCA III was often used to offset membership costs associated with regional or multistate networks.

- Clerical and support staff: 390 clerical and support staff reported by 73 projects for an average of 5.3 per project.

The clear trend in staffing was to support librarians and clerical and support staff. This trend was shared by cooperative projects regardless of the source of funds.

Operational Problems of Cooperative and Networking Projects

Another expected indicator of Program success and shortcomings was the severity of problems encountered by multitype library cooperatives and networks receiving LSCA III in Fiscal Year 1976. *The data on this issue indicate that, all other things being equal, the LSCA III cooperative and networking projects were having few, if any, serious problems which restrict operations.* Very few projects, an average of only 2 to 3 percent, reported difficulties, such as lack of support by the State and State Library Agency, lack of cooperation on the part of member and local libraries and library systems, or difficulties with facilities or materials.

In fact, the only major problems reported by the projects were those associated with funding: not enough funds, not knowing if funds would be continued, and not enough staff. Of all the projects, 46.7 percent, 40.4 percent, and 47.1 percent, respectively, considered these three problems to be serious. This trend was more typical of projects supported with a combination of funds than projects supported solely with LSCA III (56.9 percent vs. 30.9 percent; 53.2 percent vs. 26.2 percent; and 60.6 percent vs. 35.7 percent).

Funding of Cooperative and Networking Projects

The funding sources used to support cooperative and networking projects were varied, but in most instances the predominant sources other than LSCA III were LSCA I and State funds. A total of $844,642 in LSCA III funds were used to support these projects. As already reported, 43 of the 109 projects were funded solely with LSCA III funds. Among these projects, the range of funding ran from

$762 to $60,000; with one project receiving $126,325 (this project reported using funds from a previous year). Of the 43 projects, 30 were funded for less than $16,000. As might be expected, the smaller projects engaged in fewer cooperative activities; of the 30 projects receiving less than $16,000 in LSCA III funds, 20 were engaged in three or less cooperative activities. As funding increased, the number of cooperative activities also increased. Among the 13 projects funded with LSCA III only and receiving an excess of $16,000, 10 were involved in four or more cooperative activities. The quality of these activities was difficult to judge because there is no clear or widely accepted definition of cooperation and networking and the interrelationship of these activities. For this reason, measurement of quality was not attempted.

Shifting to the 66 cooperative and networking projects supported with LSCA III ($1,909,784) and other funds, the following sources of non-LSCA III funds were supplementing LSCA III:

- *State government: $12,594,420 reported by 44 of the projects (66.6 percent) for an average of $288,509 per project;*
- *LSCA I: $7,955,406 reported by 25 projects (37.9 percent) with an average of $318,216 per project;*
- *Local government: $3,097,825 reported by five of the projects (7.6 percent) for an adjusted (one project received in excess of $2.8 million) average of $72,931 per project;*
- *Other Federal funds: $504,522 reported by seven projects (10.6 percent) with an average of $72,074 per project;*
- *Sales of products/services: $256,450 reported by seven projects (10.6 percent) with an average of $37,226 per project;*
- *Membership fees: $193,644 reported by eight projects (12.1 percent) with an average of $24,205; and*
- *Foundations and all other sources: $340,740 reported by 22 projects (duplicated count) for an average of $15,488 per project;*

It was assumed that these dollar figures were directly and completely attributable to multitype library cooperation and networking in each of the States. Examination of the average contribution of State, local, or LSCA I funds indicated that each equalled or exceeded the amount of the LSCA III grant received by the States. Examining the total funding level of these 66 projects, only 10 (15 percent) received funding of less than $16,000 whereas the majority of these projects, 40 (60 percent), were funded in excess of $60,000. The trend of greater numbers of dollars being associated with greater numbers of activities holds true of these projects. One possibility suggested by the trend, specifically the fact that so many projects reported conducting multiple activities, was that there was no clear definition of what constitutes cooperative activity. A number of persons interviewed in the case studies cited the need for some set of national guidelines and standards (though this should not be interpreted as a call for more regulations) which could be used to guide the planning of cooperative and networking projects.

During Fiscal Year 1977, total funding of multitype library cooperative projects decreased slightly. Of the 109 projects, 25 (22.9 percent) ceased using LSCA III funding. Of this number, 12 were projects which only used LSCA III funds, and 13 were projects which used multiple sources of funds. A total of $16,396,948 in funding was reported as supporting the remaining 86 projects (an average of $192,905 per project). Of the 32 projects continuing with LSCA III support only, a total of $793,951 was received or an average of $24,810 per project. Of the 54 projects using multiple sources of funds in Fiscal Year 1976, the total level of funding in Fiscal Year 1977 was $15,602,997 or an average of $288,944 per project. These figures do not include new projects funded for the first time in Fiscal Year 1977.

Three patterns were evident with regard to funding. First there appeared to be two types of projects: one which was dependent on LSCA III, and another which was not. Second, within each type of project, there was a positive correlation between funding level and numbers of cooperative services provided. However, if a project of each funding type which provided the same number of services were contrasted, the activities provided by the non-LSCA III dependent project would be much more extensive. *Third, cooperative and networking projects benefit from heavy infusion of LSCA I funds. As observed in Chapter 9 regarding the use of LSCA I and other funds to support projects conforming to LSCA III emphases, the State Library Agencies may be directing LSCA I funds away from that program's primary intention in order to expand their capacity to provide services.* This extensive use of LSCA I appeared to indicate that State Library Agencies may have directed funds away from the task of extending public library services in an effort to develop the operational capacity of State Library Agencies.

10.2: LSCA III NEEDS ASSESSMENT AND POLICYMAKING AT THE STATE LEVEL

LSCA III, like LSCA I, is managed and operated at the State level. For this reason, it is helpful to examine the State Library Agencies' needs assessment and policymaking activities which affect the use of LSCA III funds. The legislation mandates that interlibrary or multilibrary cooperation be an integral part of the State's long-range program for library development. A review of State long-range programs revealed that the relationship between LSCA III and LSCA I was not sufficiently defined to allow measurement of success in meeting objectives. This indicates that greater attention to comprehensive planning and policymaking is necessary at the State level to improve the current treatment of LSCA III.

Effective policymaking and planning is based, in large part, upon knowing the service needs of the target population and the inadequacies of the service delivery mechanisms. Needs assessment is a significant component of this base of knowledge. Forty-three States reported that they have conducted needs assessments which had at least partial implications for LSCA III. Seven of the 10 LSCA III dependent States (70 percent) have conducted needs assessments, and 38 of the non-LSCA III dependent States have completed needs assessments. The majority of those States (26) that have conducted needs assessments, however, did so in 1976 or 1977, long after the long-range programs were submitted for USOE approval. Of the 12 States that have not conducted needs assessments, reasons given included insufficient staff and funds or that a needs assessment was not necessary.

A wide range of needs assessment methods, ranging from formal surveys to soliciting informal comments from librarians, were used by the State Library Agencies. These methods are listed below in descending order of formality:[1]

- Conducting needs surveys: 65.9 percent (37) of the States used this method;
- Holding open hearings: 40.9 percent (23) of the States used this method;
- Matching needs with those identified in long-range programs: 90.9 percent (51) of the States used this method;
- Receiving proposals: 72.7 percent (41) of the States used this method;
- Collecting input from the State Advisory Council: 90.0 percent (50) of the States used this method; and
- Soliciting comments from the field: 95.5 percent (53) of the States used this method.

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[1] The State Library Agencies did use more than one method.

In spite of the apparent widespread use of formal surveys, the States, as a whole, were more inclined to use informal needs assessment methods. This was true for States that only used LSCA III funds for library cooperation projects as well as those States that used multiple funding sources to support library cooperation projects.

An examination of case study data indicated that those States having relatively more sophisticated cooperative and networking projects were more inclined to rely on informal needs assessment methods. In particular, informal, ongoing talks with librarians appeared to supplant more rigorous needs assessment techniques. It is difficult to determine why this pattern exists. It may be that the cooperative and networking activities were established prior to the Federal emphasis on needs assessment and these States did not see the value of such activity. Also, it is possible that the States are reluctant to use already scarce funds for this purpose, thereby diluting the impact of their projects.

While the State Library Agencies were using informal methods rather heavily, they expressed fairly positive satisfaction with most methods indicating that the data resulting from needs assessment were useful in planning and policymaking. These methods are listed in descending order of usefulness:

- Conducting needs surveys;
- Matching needs with long-range programs;
- Holding open hearings;
- Reviewing proposals;
- Soliciting informal comments from the field; and
- Collecting input from the State Advisory Council.

Needs surveys and matching needs with those specified in the long-range program were found to be more useful than other methods to those State Library Agencies using these two techniques. This suggests that more formalized needs assessments, used in conjunction with the long-range program, would provide for more effective planning and policymaking.

The results of the various needs assessment activities are currently applied to a number of policy and administrative practices directly and indirectly affecting LSCA III. *Needs assessment results were primarily used in the development of objectives (78 percent of the States reported this use) and the assignment of priorities to those objectives which, in turn, affects the kind of cooperative projects the State Library Agency will administer/fund.* The results of needs assessment were used much less frequently in selecting projects or allocating funds to those projects selected.

Policymaking

The next logical step following needs assessment is the setting of objectives which comply with LSCA III requirement for multitype library cooperation. *With only minor exceptions, the State Library Agencies based these objectives on the long-range programs and Federal regulations more than upon other (non-LSCA) State plans for library cooperation and networking and needs assessment results (98 percent versus 78 percent).* On the average, all of these documents were found to be fairly useful, receiving an average rating of 1.9 (where 1 would be most useful and 5 least useful), although those States with a specific plan or plans for network development found this slightly more useful.

The objectives set for the States' LSCA III programs appeared to be very stable. When changes did occur, most often the decisions were based on the results of needs assessments (reported by 14 States), the availability of funds (reported by 8 States), or the availability of new services or technology which affect network development (reported by 5 States).

Distribution of LSCA III Funds to Support Cooperation and Networking

There were a variety of funding processes used by the State Library Agencies to distribute LSCA III funds. These range from the use of grant procedures to the distribution of funds in accordance with State plans. Both LSCA III dependent States and States with multiple funding sources used a variety of distribution procedures. However, LSCA III dependent States were more inclined to use proposal-based methods. The proportions of States using the various methods follow:

- Formal solicitation of proposals: 50 percent (23) of all States;
- Informal solicitation of proposals: 53.6 percent (30) of all States;
- Distribution of funds to support an existing statewide network, or networking plan: 51.8 percent (29) of all States; and
- Distribution to support a plan for multitype library cooperation: 46.4 percent (26) of all States.

While all of these methods were reported to be useful, two were found most helpful: distribution of funds according to the perceived or measured needs of State networks and distribution according to State level plans.

Data from those States reporting the use of formal and informal proposals were examined to determine the processes used to review proposals. A total of 36 States (64.3 percent) solicited formal and/or informal proposals. Twenty-nine of these same States judged the proposals on the basis of the proposed project's relevance to the long-range programs; adequacy of the proposed method and personnel; and the potential for integrating the project into an existing program of services. Two criteria, availability of local support and the project's ability to attract non-LSCA III funds, were not used frequently (less than 50 percent of the States soliciting proposals reported using these two criteria). The case study data indicated that this was due, in part, to the difficulty in obtaining local funding to support cooperative projects on either a short-term or long-term basis. This same reason applies to the issue of fungability;[1] the State Library Agencies consistently reported that it was difficult to adequately fund projects and at the same time expect the projects to obtain funds from other sources.

Participants in LSCA III Policymaking

One aspect of the policymaking function of the State Library Agency as it relates to LSCA III is the extent to which the administrative and constituent library groups were involved in activities such as needs assessment and allocation of funds. Table 10.3 presents a summary of involvement of specific groups or individuals in the policymaking activities of the State Library Agencies. State Librarians were heavily involved in all policymaking, particularly funding decisions, although State Librarians in States that combine LSCA III with other funds were somewhat less involved. In general, staff within the State Library Agency were involved in the full range of policy functions, though more so with the planning and administrative aspects than the funding decisions. This same pattern characterized the State Advisory Council. *There was a very definite absence of participation by librarians involved in the networking and cooperative projects, with the exception of participation in needs assessment functions.* Whether or not this detracted from the State Library Agencies' abilities to make policy was not clear. A number of the LSCA III case studies revealed that librarians were disappointed that they were not involved in policymaking and were concerned that decisions were made by only a few persons at the State Library Agencies. Finally, participation of the Regional Program Officers[1] was minimal, with the possible exception of setting LSCA III funding criteria though participation was lower than for most persons or groups. Involvement in this function was because of the review/approval function the Regional Program Officer was required to perform.

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[1] Refers to the co-mingling of funds from a variety of sources.

[2] As of January 1, 1978 USOE eliminated this position and recentralized all control and management of LSCA.

TABLE 10.3: PARTICIPATION IN STATE LIBRARY AGENCY POLICYMAKING PROCESSES BY TYPE OF PERSONNEL AND UTILIZATION OF LSCA III FUNDS DURING FISCAL YEAR 1976

	Policymaking Process				
Person or Group	Needs Assessment	Setting Program Priorities	Setting Program Objectives	Setting LSCA III Funding Criteria	Allocating LSCA III Funds
	States Using LSCA III Only To Support Projects				
State librarian	100.0%	90.0%	90.0%	89.9%	90.0%
LSCA III program coordinator	50.0%	50.0%	60.0%	55.6%	40.0%
State library agency planners	90.0%	80.0%	80.0%	66.7%	40.0%
State advisory council	70.0%	80.0%	50.0%	33.3%	40.0%
Librarians from member libraries	70.0%	30.0%	50.0%	0.0%	0.0%
USOE regional program officer	10.0%	20.0%	20.0%	22.2%	10.0%
	States Using LSCA III In Combination With Other Funds To Support Projects				
State librarian	68.6%	88.9%	80.6%	84.8%	91.2%
LSCA III program coordinator	54.3%	58.3%	61.0%	60.6%	52.9%
State library agency planners	77.1%	72.2%	72.2%	48.5%	29.4%
State advisory council	57.1%	63.9%	55.6%	36.4%	32.4%
Librarians from member libraries	65.7%	44.4%	44.4%	6.1%	0.0%
USOE regional program officer	9.1%	19.4%	13.9%	33.3%	26.5%
	States Supporting Projects Solely With LSCA III And With Combined Funds				
State librarian	100.0%	100.0%	100.0%	100.0%	100.0%
LSCA III program coordinator	80.0%	80.0%	80.0%	80.0%	80.0%
State library agency planners	90.0%	90.0%	90.0%	80.0%	70.0%
State advisory council	70.0%	90.0%	80.0%	70.0%	50.0%
Librarians from member libraries	80.0%	50.0%	60.0%	30.0%	20.0%
USOE regional program officer	5.5%	40.0%	10.0%	50.0%	40.0%

10:3: LSCA III PROGRAM AND PROJECT MANAGEMENT: CHARACTERISTICS AND IMPACT AT THE FEDERAL AND STATE LEVELS

There were a number of management activities found to affect the LSCA III Program's success and shortcomings. These activities were examined in the context of two levels of administration: Federal and State. As in the previous sections, the data presented here were drawn from the surveys of State Librarians and LSCA III project directors, and case studies.

Federal Management of LSCA III

To assess the impact of Federal management and program operation activities, three specific activities were selected for study: technical assistance, project monitoring, and information dissemination. Table 10.4 summarizes the assessments of these activities by State Librarians and directors of projects receiving LSCA III funds in Fiscal Year 1976. Two overall trends were evident. *First, Federal management activities were not highly rated, falling into the average category of adequate or good. Second, those States and projects dependent upon LSCA III only were more severe in their criticism of USOE management. Of the management activities, information dissemination was rated poorest, particularly by States and projects using LSCA III as the sole source of support for their cooperative and networking projects.*

There were a number of reasons for these opinions. First, there was a fairly pronounced expectation that USOE should take a more active role in the administration of the Program. For example, many respondents indicated that USOE should make greater use of State-level data and reports in the management and monitoring of the Program. Concerning information dissemination at the Federal level, the case studies indicated a pronounced difference between Regional Program Officers who shared information among the States in a region and those Regional Program Officers who treated each State separately. The State Librarians often commented on the value of having information that allowed them to contrast their State's cooperative efforts with those of other States.

TABLE 10.4: ASSESSMENTS OF FEDERAL LSCA III PROGRAM MANAGEMENT ACTIVITIES BY STATE LIBRARIANS AND LSCA III PROJECT DIRECTORS BY FUNDING STATUS

	Management Activity		
Source of Rating	Technical Assistance by Regional Program Officer	Project Monitoring by Regional Program Officer	Information Dissemination by USOE
State librarians			
States using LSCA III only to support projects	3.2[1] (10)	3.6 (10)	3.8 (9)
States using LSCA III in combination with other funds to support projects	2.3 (37)	2.4 (32)	3.1 (33)
States supporting projects solely with LSCA III and with combined funds	2.3 (10)	2.3 (10)	2.7 (9)
Overall average	2.5 (53)	2.6 (52)	3.1 (51)
LSCA III Project Directors			
Projects using LSCA III funds only	3.0 (43)	2.9 (43)	3.4 (42)
Projects using multiple funding sources	2.3 (55)	2.4 (57)	3.3 (56)
Overall average	2.6 (98)	2.6 (100)	3.3 (98)

[1] Average ratings are based on computation of a mean scale score for each group. Values range from 1 to 5 where 1 is excellent or positive and 5 is poor or negative. Numbers shown in parentheses indicate the total number of respondents represented by the score. Response rates to particular items varied.

To date, LSCA III and several other USOE library programs have not been considered priority programs. Staff and staff support have been restricted, which in turn has negatively affected the capacity of USOE to provide the desired level of guidance and assistance.[1] Furthermore, there was only limited agreement on the forms multitype library cooperation should take, making it unclear what the appropriate role of USOE and the States should be. Clearly, there is room for improvement, but this improvement is dependent upon changes in USOE policy affecting library programs generally.

State Management of LSCA III Projects: Evaluation

A second key area was LSCA III program management at the State level, specifically State evaluation of projects. Project evaluation is emphasized in the LSCA program regulations, and USOE has expended considerable effort to urge State Library Agencies to incorporate evaluation as an integral part of their management practices.[2] *Approximately 89.2 percent of the library networking and cooperative projects reported that the State Library Agency had primary responsibility for evaluating projects receiving LSCA III funds.* On the whole, project evaluations employed a variety of methods, most often some combination of informal methods.

Of the 109 projects, 72 reported that they conducted formal evaluations. Of this number, formal evaluations were conducted annually by 41 projects, semi-annually by 11 projects, and quarterly by 11 of the projects. The remaining projects were evaluated with no set periodicity, or were not evaluated formally. Data on informal evaluations provided by 79 projects indicated that this method was used on a monthly basis by 27 of these projects, quarterly by 16 projects, and annually by 15 projects. The remaining projects conducted informal evaluations on a bi-monthly or semi-annual basis.

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[1] USOE has sponsored two institutes to assist State Library Agencies in augmenting their evaluation capabilities. Beginning in 1969 a number of sessions were held at the Ohio State University, which later provided assistance to the States in reviewing long-range programs. In 1977, another institute consisting of two sessions was held at the University of Pittsburgh.

[2] The Program staff for what is now a $3 million program has consisted of one person.

The methods of evaluation, formal and informal, are summarized below in descending order of use.

- Formal methods of evaluation
  - surveys of member library operations: 26.6 percent (29) of the projects;
  - surveys of cooperative service users: 23.9 percent (13) of the projects;
  - official or formal meetings with members of the target population: 20.4 percent (22) of the projects;
  - analysis of cost/use data: 45.9 percent (50) of the projects;
  - analysis of information/material requests: 23.9 percent (13) of the projects; and
  - systems analysis of workflow, cost benefits: 21.1 pervent (23) of the projects.
- Informal methods of evaluation
  - informal feedback from participating librarians: 81.7 percent (89) of the projects; and
  - informal feedback from cooperative service users: 56.1 percent (61) of the projects.

Projects supported with LSCA III and other funds were more likely to use informal evaluation methods and analysis of records. Projects solely dependent upon LSCA III were more likely to use formal surveys of users/librarians. All methods of evaluation were rated positively, based on their usefulness in managing the project. On the average, each method was rated highly or moderately useful by over 80 percent of the projects using the particular method, with the exception of two evaluation techniques: formal surveys of users and member librarians, and official meetings with members of the project's target population which received lower ratings.

These highly favorable ratings must be qualified, however, especially those pertaining to the method of analyzing project usage data. As discussed previously, not all projects were able to provide summary data on the volume of use, most often because these data were not kept. This suggests two problems. *First, evaluation as a means of determining if a project is meeting its objectives was not clearly accepted or understood. Currently, evaluation is thought of more in terms of how the project can be improved. Second, while the State Library Agencies appeared anxious to incorporate program evaluation as a part of their management, they have not done so.* Part of this problem, identified in the case studies, was a reluctance to request State funds for evaluation since State budget officials seemed more concerned with providing services. In addition, the skills needed to conduct formal evaluations, in general, were lacking. Before meaningful evaluations can be conducted, these skills must be upgraded. Indeed, this observation would seem to describe, at the State level, a similar problem at the Program level: the need to develop skills that are critically important to the management of the Program. Although there is room for improvement, the question of who should support these activities must first be answered.

Impact of State Legislation on Cooperation and Networking

One additional issue affecting the management of LSCA III at the State level was the extent to which State legislation promoted or hindered multitype library cooperation. A number of State Library Agencies have only recently been able to expand their sphere of influence to include other types of libraries besides public libraries. This was particularly important in those States lacking highly developed public libraries which can be used as resource and reference centers. Though Federal legislation such as LSCA III may provide the States with funds to undertake new ventures, the State Library Agency must have the administrative latitude and access to resources to respond to Federal initiatives. The data collected in this study indicated a range of effects of State legislation on State Library Agency efforts to meet goals for multilibrary cooperation and networking.

Table 10.5 summarizes State legislatures' supportiveness of multilibrary cooperation as perceived by State Librarians. *In general, State legislatures have been supportive in authorizing State Library Agencies to involve multitype cooperation.* Countering this trend was the comparatively low rating which State Librarians assigned to their legislatures regarding the willingness to fund multitype library cooperation. This was particularly true of States where the State Library Agency was dependent solely upon LSCA III to support its cooperative projects during Fiscal Year 1976. The relatively low rating given to general support of library cooperation was somewhat surprising because legislatures have tended to authorize multitype cooperation. This lack of support, however, may be the result of general legislative reluctance to provide funds. *The rather clear implication was that while State legislative bodies were supportive of efforts to develop library cooperation, they were reluctant to provide funds to a series of programs that depart from established notions of what libraries are supposed to do.*

TABLE 10.5: STATE LIBRARIANS RATING OF THE SUPPORTIVENESS OF THEIR STATE LEGISLATURES FOR MULTITYPE LIBRARY COOPERATION

	State Librarian Ratings of Supportiveness				
Area or Type of Support	States Using LSCA III Only to Support Projects	States Using LSCA III In Combination With Other Funds To Support Projects	States Supporting Projects Solely With LSCA III and With Combined Funds	Overall Rating	Percent of States Responding
Authority to work with all types of libraries	1.8[1]	1.9	1.8	1.9	96.4%
Funding of library cooperative activities	2.9	2.7	3.8	2.9	92.9%
Monitoring of cooperative projects	2.8	2.9	2.6	2.8	84.0%
Support of cooperative efforts in the State	2.8 (10)[2]	2.5 (36)	2.2 (10)	2.5 (56)	91.1%

[1] Average ratings are based on responses to a 5-point scale where 1 is supportive and 5 is restrictive.

[2] Total number of States in column category.

11

LSCA III: POLICY AND FUTURE DIRECTIONS

This chapter presents the survey findings on LSCA III policy issues, concentrating on funding and the policies governing the administration of the Program. The data were drawn from surveys of State Librarians and LSCA III projects funded in Fiscal Year 1976, and interviews with Library planners and administrators conducted as part of the case studies of LSCA III in 10 States. The specific issues addressed here include:

- Changes to legislative requirements which affect LSCA III;
- Reactions to current funding practices and desired changes in those practices;
- Anticipated impact of increased funding;
- Program strengths and weaknesses;
- USOE involvement of the library community in defining Federal policy; and
- The Federal role in the development of library cooperatives and networks.

11.1: LSCA III PROGRAM REGULATIONS: CURRENT STATUS AND FUTURE CHANGES

By and large, the requirements contained in the regulations that specifically govern a State's eligibility for and use of LSCA III funds were viewed favorably by the States. These requirements serve as the key policy document by which the Federal government administers this categorical grant program and also govern the remaining Titles of LSCA (Services, Construction, and Special Services). The administrative activities generally assigned to LSCA III are, for all intents and purposes, part of the total State effort to develop a program of public library services as set forth in the Library Services and Construction Act.

Impact of Program Regulations

The States found the LSCA regulations to be useful in planning cooperative and networking projects. *With the exception of the Basic State Plan, State Advisory Council, and the Annual Project Reports, only 10 to 12 percent of the State Library Agencies rated any of the Program's requirements as either useless or very useless.* The Basic State Plan, the State Advisory Council, and Project Reports were judged to have marginal utility (compared to other requirements) and received below average ratings of 3.40, 2.24, and 2.20, respectively (a rating of 5 would be useless). The LSCA III case studies revealed some of the reasons for the low ratings given these three requirements. The Basic State Plan is an agreement between the State and Federal government by which the State agrees to comply with the regulations. It does not play a major role in the planning and management of library programs. The Basic State Plan is static, general in nature, and does not figure heavily into the planning processes that affect LSCA III activities.

The perceived low usefulness of the State Advisory Council in planning and policymaking was caused by several factors. First, lay persons must constitute one-third of the membership of the Council, and it was often difficult and time consuming to, in effect, educate these persons so that they could make informed decisions. The Councils generally must focus most of their attention upon broader issues. The State Library Agencies varied in their use of the Advisory Council; for some it served in a purely advisory capacity and, for others, in a decision-making capacity. This is not intended to imply that the Advisory Council had no value, however. In fact, the State Advisory Council provided an important link to professionals and patrons in the State.

The low usefulness rating of project reports is explained, not by the fact that they were required, but that they were not used. *There was widespread disappointment that the reports were not analyzed and that USOE had not provided feedback to the States through the Central Office or the Regional Program Officers.* The reporting forms were found to be deficient in a number of ways, and this contributed substantially to the fact that there was only limited analysis of the data presented in the forms.[1] *However, the need for analysis of project report data was recognized by State Library Agencies and USOE. For example, many State Librarians indicated that the ability to contrast LSCA III in their State with similar efforts in other States would be of great value in planning and monitoring their own efforts. This practice would enhance USOE's administration of the entire LSCA III Program, particularly its ability to track and report progress.*

How the Procedural Regulations Should be Changed

In most instances, responses as to how procedural regulations might be improved were limited, suggesting a general acceptance of current LSCA III Program regulations. *Of those suggestions for changes in Program regulations, the following were mentioned most often:*

- *Five Year or Long Range State Programs*
  - *require greater emphasis on the planning process (including such activities as defining priorities and setting more specific objectives); and*
  - *increase review by USOE.*

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[1] One major cause of this shortcoming is the fact that the Program is staffed by one person at the Central Office, and the Regional Program Officers were responsible for administering a variety of programs along with LSCA III.

- Basic State Plan
  - .. completely revise the Basic State Plan to bring it more in line with the results of needs assessments and planning processes.
- Annual Plan or Programs
  - .. analyze the annual plans at the Federal level
  - .. increase the predictability of funding by providing funds on a multi-year basis; and
  - .. provide more detailed and timely guidelines.
- Project Reports
  - .. revise the reporting requirements, analyze the data, and provide feedback to the State; and
  - .. increase emphasis in using the reports as a source of information to be used in planning.
- State Advisory Council (SAC)
  - .. increase the involvement of the SAC in LSCA III activities; and
  - .. initiate new selection procedures allowing various groups to submit recommendations for membership.
- Emphasis on Needs Assessment
  - .. permit the States to improve their ability and capacity to conduct meaningful needs assessment.
- Emphasis on Evaluation
  - .. the States recognize the need for evaluation as an administrative and policymaking tool, and would like to see it more closely integrated into policymaking activities.

These desired changes were as much intended for LSCA I as they were for LSCA III.

There appears to be a distinction between compliance with Program regulations and the use of the required plans, reports, and emphases of LSCA III. For a typical State, LSCA III funds were but 5 percent of the LSCA I grant (2.5 percent if matching State funds for LSCA I were included). LSCA I activity received a far greater share of the attention the State Library Agencies concentrated on implementing the Federal requirements. If State Library Agencies are to enhance the extent to which they incorporate the generally well regarded Program regulations, their capacity and that of USOE to use the resulting products should also be increased. One way to do this might be to increase funding and tie it to compliance with more intensive reporting/review. Chapter 12 addresses this point in the larger context of defining the Federal role and carrying this commitment through to the State level.

11.2: CURRENT LSCA III FUNDING POLICY AND HOW IT SHOULD BE CHANGED

To determine how USOE's current policy of providing categorical grants free of State matching/supplemental funding requirements was regarded, State Librarians and Directors of cooperative projects receiving LSCA III funds in Fiscal Year 1976 were asked a series of questions on funding policy. This section presents an analysis of responses to these questions and others concerning how funding policy and practices should be modified.

Reactions to the Present LSCA III Funding Policies

At the most general level, there was nearly universal agreement that LSCA III was underfunded. Not only was the Program underfunded, but the fact that the States could not depend upon timely receipt of funds was of major concern. These beliefs were shared by State Librarians and Project Directors. Eighty-eight percent of the States and 86 percent of the Project Directors reported these two funding problems as the Program's major weaknesses. There were two reasons for this. First, the State Library Agencies would like very much an increase in the amount of funds available to them. More importantly, however, is that increasingly the States recognize the fact that networking and intertype library cooperation represent a very powerful mechanism for improving and extending library services to the underserved and unserved.

A second characteristic of LSCA III funding policy, that funds were distributed to the States without requiring State matching funds, generated a high level of support among State Librarians and LSCA III Project Directors. Seventy-seven percent (43) of all State Librarians and 78 percent (84) of all LSCA III Project Directors expressed their satisfaction with the non-matching funding mechanism. State Librarians in States that had not been able to substitute other funds for LSCA III favored non-matching 82 percent to 65 percent. Reasons for supporting the present funding policy included: that LSCA III funds could be used for experimental or developmental projects; and that only a limited amount of matching funds would be available if matching were required. These reasons directly contradict the findings of this study. First, the majority of projects receiving LSCA III funds in Fiscal Year 1976 were ongoing and established. Also, it has been shown that LSCA III constitutes about 10 percent of the total funds used to support these same projects. In contrast, one reason supporting the matching requirement was that the States should be forced to take a greater role in interlibrary cooperation efforts, and nonmatching discourages this.

Changes in LSCA III Funding Policy

Reactions to possible changes in current funding policy, generally tended to favor increased Federal funding without a corresponding increase in the non-Federal funding burden. *A summary of the reactions to possible changes in funding requirements follows.*

- *Equal matching of LSCA III with State funds: 81 percent (45) of all States and 75 percent (81) of all projects opposed such a requirement;*
- *Overmatching of LSCA III with State funds: 81 percent (45) of all States and 91 percent (99) of all projects opposed this;*

- Matching of LSCA III with local funds: 87 percent (49) of all States and 94 percent (102) of all projects opposed this;
- Allocation of LSCA III to States on the basis of interest in networking: 80 percent (45) of all States and 69 percent (75) of all projects opposed such a requirement; and
- Increase in the basic LSCA III grant: 89 percent (50) of all States and 91 percent (99) of all projects supported such a move.

If LSCA III were to be increased, the average increase recommended by State Librarians and Project Directors was 300 percent above current funding levels. The next section addresses the question of how these increased funds would be used.

11.3: IMPACT OF INCREASED LSCA III FUNDING

If LSCA III funds were tripled, the increased Federal dollars would be used to further increase the capacity of each State to provide library services to users. Thus, the emphasis would be on continuing and expanding existing cooperative and networking projects and moving toward increased automation of existing bibliographic tools. For instance, 70 percent of all States and 90 percent of all LSCA III projects would favor using a hypothesized increase in the basic grant to increase the number of current projects, accelerate the level of activity of these projects, and to increase the number of participating libraries. The majority of States and projects also favored using LSCA III to engage in previously unfundable efforts. Three previously unfunded activities most often cited as examples were:

- Automation of current bibliographic, union catalog, and circulation systems (12 States and 20 projects);
- Increased access to national information data bases (38 States and 10 projects); and

- *Membership in the Ohio College Library Center (OCLC) (2 States and 15 Projects).*

Only 20 percent of the States and 37 percent of the projects favored increased use of TWX. However, 56 percent of the States and 51 percent of the projects favored the expanded use of computer terminals.

There was a clear pattern of greater acceptance of TWX on the part of States and projects that were successful in using non-LSCA III funds to support their cooperative and networking projects. The reason for this may be that these same States were somewhat more successful in establishing library networks and saw the need to expand existing projects. In general, however, the pattern of responses suggested that there was less emphasis on hardware than on the delivery of services. The States were intent upon increasing their capacity to provide necessary services.

One possible reason underlying this desire to expand and accelerate current projects is that no accepted standards or guidelines for planning library services exist. Nor has the role of cooperative library efforts in meeting service needs been defined. What has, in effect, happened is that networking and cooperation have been used to enhance the States' capacity to meet service needs, most often by improving the State Library Agencies' ability to coordinate and guide the many aspects of library services. Yet, as we have noted, there was no clear notion of where capacity building should end, and testing new, more innovative efforts should begin. This suggests that, in the future, LSCA III should place greater emphasis on innovation and that existing systems should be operated with funds other than LSCA III.

11.4: LSCA III: PROGRAM STRENGTHS AND WEAKNESSES

The LSCA III Program has a number of strengths and weaknesses, many of which have been discussed in Chapters 9 and 10. This section examines the perceptions of State Librarians and LSCA III Project Directors about LSCA III's strengths and weaknesses.

LSCA III Strengths

The survey revealed five main Program strengths. There was widespread agreement that the greatest strength of LSCA III was that it encouraged multilibrary cooperation and networking. Among State Librarians, 50 percent identified this as LSCA III's major strength, and 52 percent of the LSCA III Project Directors agreed. Second, LSCA III was viewed as having greatly facilitated multitype library cooperation. This strength was identified by 35 percent of the State Librarians and 38 percent of the Project Directors. A third strength, identified by 33 percent of the State Librarians and 28 percent of the Project Directors, was that LSCA III has enabled the States to support new and experimental projects as well as more traditional projects.

The fourth and fifth strengths of the Program related to its administrative requirements. Not requiring matching or supplemental funds was a fourth strength identified by 20 percent of the State Librarians, and 21 percent of the Project Directors. That LSCA III permitted the States a large degree of latitude in the types of cooperative projects it can design, was a fifth strength cited by 18 percent of the State Librarians and 17 percent of the Project Directors.

LSCA III Weaknesses

Turning now to the Program's weaknesses or shortcomings, three shortcomings were identified with some degree of consistency. Inadequate funding was felt to be LSCA III's major failing. All State Librarians and all Project Directors stated that the Program was underfunded or that there was great difficulty in knowing when Federal funds would be distributed to the States. A second shortcoming voiced by only 13 percent of the State Librarians and only

17 percent of the Project Directors was that USOE's administration of the Program was overly restrictive. This may reflect the influence of Regional Program Officers or the respondents may have been reacting to State requirements and not Federal requirements. These weaknesses, when contrasted with the use of LSCA I, State, and other funds, raise interesting questions. There was near unanimous complaint about the inconsequential amount of the LSCA III grant, yet the States were using comparatively high amounts of LSCA I and State funds to support library cooperation and networking. Does this mean that States are directing funds that might be used to provide services to the underserved and unserved to make up for the paucity of LSCA III funds? To what extent does the use of these other funds indicate the need for an increase in LSCA III grants to the States? Finally, to what extent are the States prepared to assume responsibility for supporting some or all of the cooperative and networking activities they are now integrating into their programs of library services?

11.5: LIBRARY COMMUNITY INVOLVEMENT IN DEFINING USOE'S ROLE IN LIBRARY NETWORKING AND COOPERATION

A potentially important issue affecting the future of Federal (USOE) involvement in the development of library cooperation and networking is the extent to which the library community[1/] is involved in the decision-making process. *The results of this study indicate that, State Librarians and persons directing cooperative and networking projects receiving LSCA III funds believed that library community involvement has been limited.* As shown in Table 11.1, among State Librarians and Project Directors who were knowledgeable of USOE, 33 percent and 40 percent respectively, felt that

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[1/] Library community as used in this discussion refers to those persons who are instrumental in the design, planning, and administration of library programs at the Federal, State, local, private, and academic levels.

TABLE 11.1: EXTENT TO WHICH STATE LIBRARIANS AND LSCA III PROJECT DIRECTORS BELIEVE USOE HAS INVOLVED LIBRARY COMMUNITY IN DEFINING USOE'S ROLE IN LIBRARY NETWORKING BY USE OF LSCA III FUNDS

	State Librarians			LSCA III Project Directors		
Level of Involvement	Used LSCA III as Seed Money	Have not used LSCA III as Seed Money	Total	Project Uses Multiple Funding Sources	Project is Dependent Upon LSCA III Funds	Total
Library community has been ignored	16.7%	16.1%	16.3%	24.2%	17.9%	18.5%
Library community has had taken involvement	25.0%	29.0%	27.9%	18.2%	35.7%	22.5%
Library community has had some say	50.0%	48.4%	48.8%	54.5%	64.3%	50.7%
Library community has has a major role	8.3%	6.5%	7.0%	3.0%	17.9%	8.4%
TOTAL	100.0% (12) 1/	100.0% (31)	100.0% (43)	100.0% (33)	100.0% (38)	100.0% (71)
Unable to respond (limited knowledge of USOE activities in this area)			23.2% (13)			34.9% (38)

1/ Column total frequencies are shown in parentheses.

the library community had little or no involvement, and approximately 50 percent of each group felt that the library community had had some limited involvement. Only 7 percent and 8.4 percent of each group of respondents felt that the library community had had a major role in USOE decisionmaking. Of those LSCA III Project Directors who administered a project that was dependent upon LSCA III, however, 18 percent believed that the library community had played a major role in USOE decisionmaking. *Finally, a surprisingly high percentage of State Librarians (23 percent) and Project Directors (35 percent) were so unaware of USOE activity that they could not answer the question.*

These findings support the belief held by many observers that USOE has not determined what role it will have in the development of library cooperation and networking, much less its role in other areas of library development and services. USOE has not taken an active role in defining the direction of library development. Until recently,[1] *USOE has not formally sought the advice of the library community. How USOE defines its role in, and commitment to, library networking will in large part determine what changes, if any, will be necessary to increase the involvement of the library community in policy decisions.* This issue is discussed in greater detail in Chapters 2 and 12.

11.6: THE FEDERAL ROLE IN THE DEVELOPMENT OF LIBRARY COOPERATIVES AND NETWORKS

One purpose of the LSCA III case studies was to explore the shape and directions that the Federal role should take with regard to library services, in general, and multitype library cooperation and networking, in particular. This section provides a summary of the views on this issue as expressed by State Librarians, persons directing library cooperatives and networks, and librarians representing the full range of public, academic, special, and school libraries in the 10 States visited during this study.

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[1] In December 1977, USOE held a two day conference, attended by State Librarians and key spokespersons of the library and information sciences, to assist in determining the future USOE policy with regard to its library and information science program.

There were two major findings on this issue. With few exceptions, there was general agreement that library cooperation and networking was an accepted and desired method of improving library services. In a number of instances, the idea was expressed that libraries must strive for equality of access rather than equality of collection. Second, there was widespread agreement that the Federal government, including USOE, must take an active role in the development and improvement of library services, including library networks.

One theme expressed throughout the case studies was that the Federal government should increase its funding support of library networking. This view was shared by respondents in urban and rural States, and in States with or without a strong commitment to networking and interlibrary cooperation. The methods of distributing these funds varied, however. The smaller, less developed States favored using the existing single State agency concept. Another approach to distributing these increased Federal funds was to distribute them on a regional basis to allow for the further development of multistate or regional networks. The larger, more sophisticated States indicated that the distribution of funds should allow for long-range or multiyear funding of library cooperatives and networks. Finally, these persons voiced the need to fund library networks in accordance with some plan to meet national objectives for library services.[1]

The last funding issue discussed here leads directly to a second direction the Federal government should consider. There was a very definite need for a national plan for library services. An integral part of such a plan would be a national network. The actual configuration of such a network was not often specified, but the following suggestions indicate some characteristics. First, the national network should take advantage of and build upon existing structures and networks. Second, this national network should be flexible and able to accommodate and/or allow for differences at the State level. Third, this national network must "keep the local library in mind." As one librarian noted, with regard to one component of a national network, cataloging services provided centrally should allow for local variations and special needs. Finally, the question of what organization might serve as the hub of a national network was raised. The Library of Congress, because of its technical leadership and large collection, was identified most often as an appropriate coordinating organization. NCLIS was also mentioned as a possible organization to administer this national network.

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[1] It was not unusual for respondents to cite the NCLIS efforts to develop a national program for library services.

In addition to increased Federal funding and development, a third direction for future Federal involvement identified by a number of librarians was that of developing and providing guidelines or standards. These standards would apply to both library services and the technical processing aspects of library operations. These standards would increase the compatibility of the different library systems, thus permitting a greater range of library cooperation and networking.

Each of these three future roles are clearly interlinked. They represent departures from the current USOE role. Indeed, USOE is viewed as an administrative agency controlling a major share of Federal library dollars, especially those impacting public library services, yet many persons in the field continue to look to it for guidance and direction in developing systems of library services which must be coordinated, compatible, and integrated if they are to succeed.

PART 4

FUTURE DIRECTIONS FOR FEDERAL POLICY IN LIBRARY COOPERATION AND NETWORKING AND LIBRARY RESEARCH AND DEMONSTRATION

FINDINGS AND RECOMMENDATIONS

12

THE FEDERAL ROLE IN LIBRARY DEVELOPMENT: FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

This report began by questioning whether or not the Federal Government should continue to be involved in library development; specifically, whether USOE should continue its programs in multitype library cooperation and networking, and library research and demonstration. The results of this study indicate strongly that USOE involvement should continue, but that if it is to be effective, there must be a focusing of that involvement. The effort to focus Federal involvement should not be restricted to a few Federal programs to develop library and information services and resources, but must include all Federal library programs. USOE is in a unique and pivotal position to stimulate this change, and in part, this chapter discusses possible options for USOE in the future.

The chapter is presented in two sections. In the first section, the study findings regarding the HEA II-B Library Research and Demonstration and LSCA III Programs are summarized, and a series of conclusions regarding the Federal role in these Programs have been drawn. The second section provides recommendations to focus the two Programs, increase funding, and strengthen management. If implemented, they will increase the effectiveness of the two Programs and strengthen USOE's role in the development of library and information services and resources.

12.1: MAJOR FINDINGS AND CONCLUSIONS

This study has analyzed the background, impact, performance, and future needs of the HEA II-B Research and Demonstration and the LSCA III Programs. The major findings concerning impact, Program operations, and policy and funding are summarized in this section. The strengths and weaknesses of each Program and the role of USOE in library development are examined.

HEA II-B Library Research and Demonstration Program: Major Strengths and Shortcomings

Impact: The HEA II-B Library Research and Demonstration Program has had a significant impact upon the library and information community merely by virtue of its existence. The Program has provided millions of dollars for innovative research and demonstration, where previously there were no or very few funds available. It is the only Federal program that as part of its efforts, supports a wide range of research to improve public library services. As a result, the Program has generated new knowledge about innovative approaches to networking, serving special target groups, utilizing community resources, and new technology. The Program has funded projects covering each of these areas, with a marked emphasis on serving special target populations. Several projects have had local successes and a few have had national impact, such as the series of projects which contributed to the development and improvement of the Ohio College Library Center (OCLC).

Many products resulting from the Program have had potential for widespread application and utility in all types of libraries and information services. Almost 80 percent of the projects met or exceeded their Director's expectations for attaining objectives. Measured in terms of the levels of use, many projects had important local impact on the users of their services (either other library or information institutions or patrons of those services) during the demonstration period. About one-third of the projects were continued with other funds and progressed into more advanced stages of adaptation in the locality where the project was operated. The amount of transference of information (dissemination) to other projects and other situations is not fully known at this time, but 37 percent of the projects identified other projects which have utilized products developed under Program grants.

While no estimate can be made as to the relative success of this level of transference, it is clear that the impact of the Program has been diffused through several major shortcomings: lack of a cohesive national plan for the direction of the Program, lack of adequate dissemination at the national level, and lack of other aspects of a linkage system that would propel the findings of this Program into practical applications on a wide scale. Quite simply, the Program has not realized its full potential. In order to be more successful, the Program needs to be more focused, more adequately funded, and given greater control over the grants process.

Currently, the transfer of information from developer to potential users is based on the usefulness of the concept, the quality of the project's work, its applicability to the potential users, and the ability of the Project Director to promote the project (dissemination) and/or raise funds (continuation). Without direction and assistance (including funding for dissemination) by the Federal Program, the distribution of projects which do transfer is best described as random because there is no linkage (dissemination) between the innovators and the agencies and institutions who are the potential users.

Program Operations: One key finding about the Program was the extent of change which the projects underwent during their operations. Objectives were changed by 23 percent of the projects, and almost all the projects made other types of changes--in methodology, schedules, staff, etc.--during the course of their work. This flexibility was important because it permitted projects to adjust to the unpredictable events which occurred during implementation. However, it was also found that continual changes were detrimental to projects. Some projects which were constantly changing were poorly designed.

Projects which changed reported a high incidence of interaction with USOE officials. In general, technical assistance was considered good, prompt, and relevant, but limited because of the lack of staff and support for Program staff to make site visits. The respondents expressed a desire for increased Program staff participation in dissemination and evaluation activities, particularly evaluations aimed at determining whether multi-year projects should be continued for their additional years. Technical assistance at the time of proposal preparation and submission was also highly desired by respondents. Changes such as these would require major adjustments in funding and USOE grants-management policy that governs the Program. Currently the Program does not have sufficient latitude in the selection and management of grants.

The proposal selection process was considered to be fair. Some respondents felt that the reviewers' ratings should have more weight in funding decisions. Current regulations place the responsibility for decisions almost completely on the reviewers' scores. Since all readers do not see all proposals, this process becomes less fair than might have been intended--in effect, different sets of proposals are rated by different views of the criteria depending on the reviewers' biases and perceptions of the standard criteria. Further, the topics of proposals cannot be compared and projects are not selected according to any priority for areas.

Summary of reactions to HEA II-B Library Research and Demonstration Program policy and funding: The Project Directors and other respondents were generally satisfied with the current status of funding decisions. There was a trend towards favoring research over demonstration,[1] and favoring outreach activities as opposed to traditional library services, but the current practice of funding a variety of research and demonstration activities received support from the respondents. Almost all respondents favored increasing the Program's funds (currently $1 million per year) substantially; the median funding level suggested was approximately $4 million per year.

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[1] Although the Program itself has been emphasizing demonstration projects over the last few years as was explained in Chapter 4.

The respondents overwhelmingly approved a reinstatement of an Advisory Committee for USOE in the area of library and information services. It was felt that an Advisory Committee could provide USOE with needed assistance and help determine clear priorities and objectives for the Program. Involvement of State Library Agencies in an advisory capacity was also highly recommended. One potential benefit accruing from involvement of the State Library Agencies is that they are an important source, though not the sole one, of funds which can be used to replicate the results of the Program's efforts. This need for advisory support expressed by the respondents stems from lack of involvement of the profession in Program planning and policymaking, and only limited involvement as readers of proposals.

LSCA III: Major Strengths and Weaknesses

Impact: LSCA III has impacted the development and expansion of library cooperation in a number of ways. LSCA III is a major driving force behind the development of multitype library cooperation and networking, primarily at the State level. Along with LSCA I, use of LSCA III has resulted in greater centralization of planning and administration of library services at the State and regional levels. LSCA III was credited as a major influence on State legislatures to modify or pass into law legislation favoring cooperation and networking. Activities and services to increase access to library resources and to provide librarians with needed continuing education were listed as the major outcomes of the cooperative and networking projects. In addition, most projects (88 percent) reported that they provided more than one cooperative service.

The State Library Agencies credited LSCA III with providing the impetus for participation in intrastate and multistate cooperatives/networks, and for increased use of telecommunications. More than 76 percent of the States actively participated in intrastate and multistate library networks in 1976. Over 62 percent of the States were able to install or upgrade telecommunications linkages among public, academic, and special libraries. LSCA III was not the only source of support for multitype library cooperation and networking, however. During Fiscal Year 1976 large amounts of LSCA I, State, and local funds were used to support multitype library cooperation and networking. Specifically, during that period, the States reported spending an estimated $39.81 million[1/] on cooperative and networking projects. Of that total, $11.76 million and $2.75[2/] million were provided by LSCA I and LSCA III, respectively. The remaining $25.30 million was provided by State and local governments and other miscellaneous sources.

During Fiscal Year 1976, the $39.82 million was used to support three types of projects which conformed to the LSCA III emphasis on multitype library cooperation:

- Projects receiving LSCA III funds in Fiscal Year 1976. Of the 109 projects reported here, 43 were solely dependent on LSCA III and 66 used LSCA III to supplement other funds.
    - .. Total amount: $27.79 million
    - .. Sources:

[1/] This estimate does not include cooperative and networking activities which did not involve State Library Agencies (e.g., computerized library networks).

[2/] The difference between this figure and the $2.59 million appropriated is accounted for by the fact that 1) the States were allowed to carry over funds from one Fiscal Year to the next, and 2) by the absence of two projects from the sample.

        - LSCA I: $7.9 million
        - LSCA III: $2.75 million
        - State and local governments: $17.14 million
- Projects that used LSCA III as seed money and are now continuing by using other funds.
    - Total amount: $6.28 million
    - Sources:
        - LSCA I: $1.05 million
        - State and local governments: $5.23 million
- Projects conforming to LSCA III's emphasis but not receiving LSCA III funds in Fiscal Year 1976.
    - Total amount: $5.74 million
    - Sources:
        - LSCA I: $2.81 million
        - State and local governments: $2.93 million

Although LSCA III has had a definite, positive impact on the development of multitype library cooperation and networking, several shortcomings and anomalies were identified. Some of these will require Federal attention and others must be addressed at the State or local level.

Significant amounts of LSCA I funds (approximately 20 percent of the Fiscal Year 1976 appropriation) were used by the States to partially or completely support multitype library cooperation and networking activities. It is not known if this may be detrimental to the mandate of LSCA I (development and support of State efforts to expand and extend public library services to the unserved and underserved), or if this is an effective means of supporting these types of projects. A more complete understanding of these issues is definitely needed, and because of the sizable amount of dollars involved, is probably worthy of its own study.

A significant problem was that LSCA III was providing support for projects that had become integrated into the States' basic programs of library services. This finding should not be interpreted as indicating that the States are misusing LSCA III funds. The legislation clearly specifies that use of LSCA III for the operation of cooperatives and networks is allowed. However, given the modest funding level of LSCA III and the level of use of LSCA I and State funds, a shift in emphasis is called for. Slightly more than 85 percent of the projects receiving LSCA III funds were ongoing projects, scheduled to continue operations for an indefinite period of time. Only 14 percent of the LSCA III supported projects were short-term, trial projects. This suggests that LSCA III funds are being targeted more at Stage 3 operational activities than at the riskier Stage 2 activities; and this in turn means that a vital phase in the project development model is being seriously weakened.

Further, many of the projects funded by LSCA III were restricted in the range of cooperative and networking services they supported. The interlibrary loan and reference and referral services provided were no doubt efficient and a proper means of gaining access to a wide variety of libraries. However, there was some question as to how many patrons actually needed and used such services; and there were a number of other essential library support services, such as document access and sharing, warehousing and shared storage of low use materials, which were not being provided. The question that must be raised is how more LSCA III funds can be directed towards exploring new forms of cooperation and networking which will further increase the efficiency and economy of library services, as well as increase access to library resources?

LSCA III Program Operations: A number of strengths and shortcomings in the operation of the Program at the Federal and State levels have been identified and have implications for the future of the Program. Because of its low priority, the Program has not had adequate resources to monitor State-level cooperative and networking activities or to provide adequate technical assistance. Yet these management activities appear to be well-received at the

State level and are viewed as being valuable. A number of problems have resulted: dissemination of information about networking and cooperation is very superficial; there are no systematic efforts to share information among the States (e.g., preparation of an annual national report); and management at the Federal level has not adequately used data from annual reports on LSCA III supported cooperation and networking efforts at the State level to either strengthen the Program, or to assist projects to advance from Stage 2 to Stage 3 status. The States also see a need for more detailed guidelines and standards and for increased assistance to upgrade needs assessments and program evaluation activities.

Management practices at the State level require additional attention. State Library Agencies have reservations about the usefulness of the requirement for a State Advisory Council, primarily because of the difficulty they encounter in obtaining informed decisions. Yet, many librarians feel excluded from the decisionmaking that affects the development of library cooperation. Needs assessments and evaluations are informally conducted by many States, but the States have not made consistent efforts to collect and maintain data on the status and impact of their cooperative and networking projects. These activities are particularly vital in the future if LSCA III is to take on a more defined role in the area of testing the feasibility of new forms of cooperative and networking services. It would be appropriate for USOE to assume a leadership role in these areas.

Summary of reactions to LSCA III policy and funding: The States are not satisfied with the priority LSCA III receives at the Federal level, nor are they satisfied with the low level of funding currently provided to each State. They also noted that the LSCA III Program has not attempted to involve the library community in determining USOE policies affecting multitype library cooperation and networking activities. Recently, the only policy expressed by USOE has been that LSCA III should be funded at minimal levels or not be funded, yet this policy does not have the endorsement of the States, NCLIS, or professional librarians. If Federal involvement in the development of library resources and services is to continue, then careful consideration needs to be given to increasing USOE's linkage to the library community and other Federal agencies involved in library cooperation.

Most State Librarians and directors of projects receiving LSCA III funds believe that the Program is underfunded and that these funds cannot be depended upon when planning programs of library development. Many States routinely provided funds to support cooperative and networking projects during periods when the LSCA III grants were not disbursed to the States on schedule. Also, many States have used significant amounts of their own funds to support multitype library cooperation and networking. Yet, the States were overwhelmingly opposed to being required to match or supplement the Federal grant, but they favored a threefold increase in the basic State allotment of LSCA III funds.

If there were an increase in funds, State Librarians report that they would continue to use the funds for the same activities. In most States this would mean continued use of funds to supplement the funding of existing ongoing projects. There was some willingness, however, even with the present low level of funding, to integrate more innovative approaches (computerization of bibliographic data bases and integrating computerized information data bases into existing networking efforts). It is likely that the testing of innovation would be far more prevalent if USOE were to take a leadership role and provide more direction to library development activities.

In the States, library cooperation and networking were accepted modes of improving library services and achieving increased efficiency and economies. The States generally agreed that the development and improvement of library services was dependent on USOE doing the following: 1) increasing current funding levels earmarked for multitype library cooperation and networking (a median annual figure of $10 million was suggested; 2) making provisions for multi-year funding; and 3) assuming a leadership role along with NCLIS and the Library of Congress in the development of standards and guidelines, and in the development of a national plan for library services (e.g., a national network).

12.2: RECOMMENDATIONS FOR FUTURE USOE POLICY ON LIBRARY COOPERATION, NETWORKING, AND RESEARCH AND DEMONSTRATION

The recommendations address four areas which underly the key needs of the HEA II-B Library Research and Demonstration and LSCA III Programs. The first area is the need to define and focus the role of the two Programs in the overall process of developing library resources and services and transferring those developments from the innovation stage to becoming part of the basic library and information services. The second need is to provide linkages between a) the different stages of this change process, and b) the variety of agencies, individuals, and organizations who are involved in this process. The third need is to substantially upgrade Federal and State management of these Programs and to redefine USOE management responsibilities. The fourth need is for USOE, as a major funder of library and information services development activities, to reconsider the role of each of the Programs in the innovation change process. Implementation of these recommendations is, in large measure, dependent upon careful reconsideration of current USOE policy.

If these recommendations are implemented, the two Programs will be greatly improved, and USOE's role will be considerably more influential; and the nature of USOE support will be considerably more cost-effective. Within each of the four areas, recommendations are presented in an order approximating the priority they should be given.

Focusing the HEA II-B Library Research and Demonstration and LSCA III Program

The findings of this study indicate very strongly that the HEA II-B Library Research and Demonstration Program and the LSCA III Program have had positive impacts, but there is no explicit rationale or structure underlying the types of projects that are supported by either Program. Consequently, the impact of the Programs has not been as great as might otherwise have been expected. One reason for this is the absence of a sharply defined focus for either Program. The second reason is that both Programs have extremely limited resources to support Program operations. The improvement of library and information delivery systems is dependent on the quality and effectiveness of these, and other, USOE library Programs. The following recommendations will lead to a significant increase in the impact of each Program on the library and information community by concentrating their support on the aspects of the change process which appear to be the most critical at this point in time.

RECOMMENDATION I: HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM FUNDS SHOULD BE USED TO SUPPORT NEW AND INNOVATIVE LIBRARY AND INFORMATION SERVICES AND NEW OR IMPROVED MECHANISMS TO DELIVER SERVICES TO USERS. THERE SHOULD BE INCREASED FOCUS ON DEVELOPMENTAL/EXPERIMENTAL RESEARCH AND A CORRESPONDING DECREASE ON FUNDING PROJECTS THAT TEST THE FEASIBILITY OF LONG-RANGE IMPLEMENTATION.

Justification

A. HEA II-B Library Research and Demonstration Program funds are limited and feasibility testing for long-range implementation tends to drain funds from experimental/developmental efforts.

B. The support of demonstration projects to test the feasibility of adopting a new service is better left to programs such as LSCA I and III, where there is far more State/local discretion in how the funds are allocated. Recent research sponsored by the National Institute of Education suggests that there is far more chance of an innovation being adopted if the adoption/adaptation process is controlled by the eventual users of the system.

C. Although USOE has been increasing the funding of demonstrations compared to research under this Program, survey respondents favored a Program emphasis on research-type activities.

To implement the recommended focus, the HEA II-B Program should take the steps outlined below.

RECOMMENDATION 1A: THE CURRENT FUNDING LEVEL OF THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM SHOULD BE INCREASED FROM $1 MILLION TO $3 MILLION PER YEAR THROUGH FISCAL YEAR 1985. THE PROGRAM SHOULD RECEIVE FORWARD FUNDING.

Justification

A. Current funds restrict the number, size, and length of grants severely. Only about 15 percent of the submitted applications are funded, and the major complaint eminating from the field was over the limited funds that are available. Given the potential payoff of these research efforts vis a vis their potential affect on improving library and information services to the population and providing increased cost efficiency, the present funding level is too restrictive and does not reflect the potential payoffs of these projects.

B. The median recommendation of survey respondents was approximately $4 million. While this is higher than the recommended amount, it was felt that there was some positive bias in the responses, and that $3 million would be more than adequate to fund those projects of the highest quality and promise.

C. Less than 5 percent of respondents recommended decreasing funds; less than 20 percent recommended leaving funding amounts at current levels.

D. The Program is the only one of its kind at the Federal, State, or local level. No other agency or combination of agencies has been able to demonstrate the capacity to support such a wide range of library and information research and demonstrations.

RECOMMENDATION IB: A FIVE-YEAR RESEARCH PLAN FOR THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM SHOULD BE DEVELOPED WHICH WOULD ESTABLISH ANNUAL GOALS AND PRIORITIES WHICH WOULD BE USED TO STRUCTURE THE ANNUAL GRANTS COMPETITION. THIS SHOULD BE DONE IN CONSULTATION WITH MEMBERS OF THE LIBRARY AND INFORMATION SCIENCES COMMUNITY AND THE OTHER FEDERAL AGENCIES SUCH AS THE NATIONAL COMMISSION ON LIBRARY AND INFORMATION SCIENCE.

Justification

A. Given the limited dollars which will be available, even if the recommendation on increased funding is implemented, a detailed plan for encouraging research into predetermined areas will be necessary if significant innovations and improvements are to be effected in the operation of the Nation's libraries.

B. Many respondents indicated strongly that USOE should develop long-range plans, set priorities, and, where possible, tailor the decisionmaking process to those priorities.

C. There was also a strong feeling that the professional community and other Federal agencies could participate more effectively than past procedures have allowed and could provide valuable input to this decision process. In addition, there is a greater chance that innovations will be adopted or adapted if the system's stakeholders participate in decisionmaking and setting of priorities.

D. The Program provides discretionary grants, and effective management is possible only if the Program staff has greater control over the direction of the Program.

RECOMMENDATION IC: THE LONG-RANGE PLAN DEVELOPED FOR THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM SHOULD BE REVIEWED ANNUALLY BY THE OFFICE OF LIBRARIES AND LEARNING RESOURCES ALONG WITH THE SELECTED REPRESENTATIVES FROM THE LIBRARY AND INFORMATION COMMUNITY, AND REPRESENTATIVES OF OTHER FEDERAL AGEICIES IN ORDER TO DETERMINE:

1) WHETHER THE LONG-RANGE AND ANNUAL GOALS ARE BEING MET:

2) WHETHER ANY CHANGES IN THE PLAN WOULD INCREASE THE PROGRAM'S EFFECTIVENESS: AND

3) WHETHER ANY ADVANCES IN THE STATE-OF-THE-ART OR CHANGES IN ADMINISTRATIVE AND/OR FUNDING POLICIES HAVE OCCURRED WHICH SHOULD BE REFLECTED IN THE LONG-RANGE PLAN.

Justification

A. Program self-monitoring would increase its effectiveness by allowing it to remain relevant and address specific successes and failures as they occur.

B. The Program needs to maintain flexibility in order to keep pace with rapidly changing technology and concepts.

RECOMMENDATION ID: THERE SHOULD BE AN INCREASED EMPHASIS ON CONTRACT RESEARCH TO MEET ANNUAL AND LONG-RANGE GOALS OF THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM. THE CONTRACT PROCESS ALLOWS THE FUNDING, AND TIGHTER CONTROL, OF PROJECTS DEEMED BY THE PROGRAM STAFF TO BE OF CRITICAL IMPORTANCE. THE PROGRAM SHOULD SET ASIDE UP TO 30 PERCENT OF ITS ANNUAL APPROPRIATION FOR THE DEVELOPMENT AND FUNDING OF RFPs.

Justification

A. The RFP process would allow the Program to stipulate in considerable detail research products it requires in order to meet its goals.

B. The grant process results in a minimum amount of control. over the grantee once applications are funded. The end-product of a grant may, legally, be quite dissimilar to that which had been proposed. By contrast, contracts can be closely controlled by the Program, and end-products would change only with the permission of the Program staff.

C. The grant process, by its very flexibility, allows for a greater degree of freedom and creativity by the grantee. The 30 percent limit for contracts will allow adequate room for control (under recommended funding increases, the contracts would amount to about $1 million--the size of the Program currently), but also adequate room for creativity and experimentation.

RECOMMENDATION IE: THE USE OF MULTI-YEAR GRANTS AND CONTRACTS SHOULD BE ENCOURAGED, WITH PROJECTS BEING FUNDED FOR UP TO THREE YEARS, CONDITIONAL UPON SATISFACTORY PERFORMANCE AS DETERMINED BY HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM ANNUAL REVIEW. IMPLEMENTATION OF THIS RECOMMENDATION SHOULD BE DEPENDENT UPON AN INCREASE IN FUNDING FOR THE PROGRAM.

Justification

A. The present requirement that new proposals be submitted each year for projects already funded by the HEA II-B Library Research and Demonstration Program is time consuming and expensive for both the projects and the USOE. It also contributes to turnover of key researchers and project directors since their present positions cannot be assured for more than a year at a time.

B. The present one-year-at-a-time concept prevents long-range planning for use of funds both by the Program and project staffs. Often projects are severely hampered by their inability to make commitments for resources in advance (such as creating a liaison with a potential test site).

C. Evaluation by USOE to determine the progress, value, and success potential of a project before continuing funds will serve two purposes: 1) allow USOE to terminate unsuccessful projects, and 2) provide incentives for projects to meet their goals in a timely manner.

D. There was strong support for this concept among the respondents.

E. Multi-year grants would permit the Program to sponsor longitudinal study which in turn would provide sound measures of the long-term impact and effect of existing and new services.

RECOMMENDATION 2: USOE SHOULD STRONGLY ENCOURAGE THE STATES TO USE LSCA III FUNDS TO SUPPORT THE LIMITED TRIAL OF NEW OR EXPANDED MULTI-TYPE LIBRARY COOPERATION AND NETWORKING SERVICES: TO EXTEND NETWORKING AND COOPERATION INTO LIBRARY SERVICE AREAS WHICH ARE NOT PRESENTLY BENEFITTING FROM THESE STRATEGIES: AND TO IMPROVE THE STATES' CAPACITY TO INTEGRATE THESE NEW CHANGES INTO THEIR BASIC SERVICES. THERE SHOULD BE DECREASED EMPHASIS ON USING LSCA III FUNDS TO SUPPORT THE OPERATION OF ESTABLISHED NETWORKS AND COOPERATIVES INCLUDING THOSE BEGUN WITH LSCA III FUNDS.

Justification

A. Eighty-five percent of all library cooperatives and networking projects receiving LSCA III funds in Fiscal Year 1976 were ongoing projects which had been integrated into the State Program of basic library services.

B. The results of this study show that the combined total of LSCA I, State, and local funds expended to support library cooperation and networking is approximately ten times greater than the total LSCA III funds expended by the States.

C. Services provided by the present set of LSCA III projects are limited to a fairly narrow range of activities, primarily information resource access sharing. These activities reach a comparatively narrow group of users.

D. This shift in focus will insure that the Federal share of support for library services is used most effectively, since it will be aimed at promoting the trial of new innovations, rather than supporting ongoing operations.

To implement this sharpened focus for LSCA III, USOE should take the following steps:

RECOMMENDATION 2A: THE CURRENT FUNDING OF LSCA III SHOULD BE INCREASED FROM $3.37 MILLION TO $10 MILLION PER YEAR THROUGH FISCAL YEAR 1985. FORWARD FUNDING SHOULD BE SOUGHT TO ALLOW FOR LONG-RANGE PLANNING AT THE STATE LEVEL.

Justification

A. The Program is underfunded. The average amount of LSCA III funds received by each State through this Program was less than $50,000 per year.

B. The States are reluctant to explore new cooperative services because there is no assurance that a primary source of discretionary funds, LSCA, will be available during the next funding year.

C. Disproportionate amounts of LSCA I funds are being used by the States to support their cooperation and networking efforts. An increase in the LSCA III grant should permit the States to redivert LSCA I funds to meet critical service needs. Implementation of the recommendation should not be accomplished by reducing the current funding level of LSCA I as this might have adverse affects upon existing public library service programs in the States.

RECOMMENDATION 2B: UP TO 10 PERCENT OF ITS ANNUAL LSCA III APPROPRIATION SHOULD BE SET ASIDE TO BE USED ON A DISCRETIONARY BASIS AT THE FEDERAL LEVEL.

Justification

A. The Program has been unable to provide needed technical assistance to upgrade State capabilities to integrate library networking into their constituents' basic library services.

B. The States are looking to USOE to provide guidelines and standards for library cooperation and networking, with the eventual goal of establishing a national network. Without discretionary funds, this expectation cannot be met.

C. Many forms of library cooperation and networking require that States join together. The individual States are reluctant to fund these activities unless the benefits of multistate networks and other joint cooperative ventures are demonstrated. Funds controlled at the Federal level may be required for this to occur.

D. If the LSCA III Program is to shift its role away from support of ongoing networks and cooperatives to support of the testing of new approaches, and augmenting the States capacity to integrate these new approaches, greater Federal control of funds will be necessary.

RECOMMENDATION 2C: THE LSCA III PROGRAM SHOULD WORK COOPERATIVELY WITH THE STATE LIBRARY AGENCIES TO DEVELOP INDIVIDUAL (STATE) STRATEGIES WHICH WOULD DEFINE THE MANNER, AND PERIOD OF TIME, IN WHICH THE LSCA III FUNDS WOULD BE MORE SHARPLY DIRECTED TOWARDS LIMITED TRIAL OF NEW AND IMPROVED NETWORKING AND COOPERATIVE SERVICES, AND CAPACITY BUILDING ACTIVITIES.

Justification

A. Knowledge of, and experience with, library networking and cooperation varies greatly from State to State.

B. Numerous States are reluctant to accept the importance of library cooperation and networking and prefer to allocate funds to established programs.

C. The level of planning at the State level for library cooperation and networking varies greatly in its sophistication. The States need assistance in linking cooperation and networking to long-range plans for library development.

RECOMMENDATION 2D: USOE SHOULD MODIFY THE CURRENT LSCA III REGULATIONS PERTAINING TO USOE REVIEW OF STATE LONG-RANGE AND ANNUAL PLANS TO REFLECT THE SUGGESTED SHARPENED FOCUS OF THE PROGRAM.

Justification

A. The current regulations allow a wide range of use for LSCA III funds. If the Program is to focus on assisting States to test (and implement) new forms of cooperation and networking, the regulations will have to be modified to reflect this shift in USOE policy.

Linkages for the HEA II-B Library Research and Demonstration and LSCA III Programs

One of the major findings of the present study has been that information on the results of these Programs has not been satisfactorily disseminated to the library and information community. Most projects lack the technical and financial resources to carry on effective dissemination alone; there is insufficient support at the national level. Further, there is little formal or informal coordination between the Programs which facilitates the achievement of common goals. Once the USOE role for these Programs is more sharply defined, vehicles will be necessary for assisting in moving Program products and results from the innovation stage to the trial stage, and finally to the operation stage. The recommendations presented below will lead to the development of these linkages.

RECOMMENDATION 3: THE PRIMARY MISSION OF THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION AND LSCA III PROGRAM STAFFS SHOULD BE SHIFTED FROM ITS PRESENT EMPHASIS ON THE DISTRIBUTION AND MONITORING OF THE USE OF FUNDS, TO INCORPORATE ON AN EQUAL BASIS, DISSEMINATION ACTIVITIES AIMED AT PROVIDING LINKAGES BETWEEN:

- DEVELOPMENTAL/EXPERIMENTAL RESEARCH IN THE LIBRARY AND INFORMATION SCIENCES;
- LIMITED TRIAL, NEW SERVICE AREA, AND CAPACITY BUILDING ACTIVITIES; AND
- FULL-SCALE INTEGRATION AND OPERATION OF NEW PRODUCTS AND SERVICES AS PART OF BASIC LIBRARY SERVICES.

Justification

A. As the major funder of activities in the first two stages listed above, USOE is in the ideal position to be the broker which brings together those who develop new knowledge and those who need it. Survey respondents in both studies looked to USOE to play this role.

B. USOE has a national orientation, yet is concerned through its Programs with State and local efforts. Thus, it can transcend local boundaries and can provide a wider perspective on the relationships of projects in differing developmental stages to one another. It is also in a far better position to identify potential users from a national perspective than are local or State agencies.

To implement these new responsibilities, USOE should take the steps outlined below.

RECOMMENDATION 3A: ADDITIONAL STAFF NEEDS TO BE ASSIGNED TO THESE PROGRAMS TO SERVE AS "INFORMATION BROKERS" WITH THE RESPONSIBILITIES OF SEEKING OUT POTENTIAL AGENCIES INSTITUTIONS, AND/OR RESEARCHERS WHO MIGHT BENEFIT BY USING ONGOING, OR COMPLETED RESEARCH PROJECTS.

Justification

A. Survey respondents repeatedly suggested that USOE accept this responsibility.

B. Current staffing levels are not adequate to perform this function.

C. Insofar as no organization is primarily providing this service, much of the value of the funded research is being wasted and dissipated through lack of adequate dissemination.

RECOMMENDATION 3B: SUFFICIENT SUPPORT FUNDS NEED TO BE PROVIDED FOR SUCH ITEMS AS STAFF TRAINING, TRAVEL, PRINTING, ETC., TO ENABLE THIS CHANGE AGENT FUNCTION TO BE CONDUCTED EFFECTIVELY.

Justification

A. Without adequate support funds, personnel assigned to these responsibilities would be unable to implement the change agent function.

RECOMMENDATION 3C: THE DEVELOPMENT OF INFORMATION PACKAGES ABOUT ONGOING AND COMPLETED PROJECTS IS ESSENTIAL. THESE PACKAGES SHOULD PROVIDE UPDATED INFORMATION TO POTENTIAL USERS AS THE PROJECTS PROGRESS.

A. Currently, there is no uniform means of disseminating information on projects already completed, except on an ad hoc basis by former staff and by including project documentation in ERIC. Neither of these methods have proven to be effective.

B. By re-evaluating and reviewing previous outcomes, linkages can be developed between related projects so that potential users can take advantage of the sum-total of what has been learned.

RECOMMENDATION 3D: STANDARDS OR GUIDELINES AND FUNDING FOR DISSEMINATION ACTIVITIES ARE NEEDED AT THE INDIVIDUAL PROJECT LEVEL. THIS SHOULD BE ESTABLISHED BY THE PROGRAMS AS PART OF THE PROCUREMENT PROCESS.

Justification

A. Many Project Directors reported not knowing how to conduct effective dissemination activities, and not knowing what were their responsibilities in this area.

B. Projects are often conducted without adequate time or funds for dissemination activities.

C. A standardized but flexible system would provide for increased continuity and communication between researchers and research activities.

RECOMMENDATION 3E: INCREASED TECHNICAL ASSISTANCE BY USOE STAFF AND/OR OUTSIDE SPECIALISTS IS NEEDED BY THE PROJECTS TO ASSIST THEM IN CARRYING OUT THE DISSEMINATION RESPONSIBILITIES ALREADY REQUIRED FOR GRANTEES.

Justification

A. Respondents often requested such assistance.

B. Respondents felt that such assistance is not currently adequate.

RECOMMENDATION 4: THE HEA II-B AND LSCA III PROGRAMS NEED TO DEVELOP FORMAL MECHANISMS FOR COORDINATING THEIR PLANNING, FUNDING, AND DISSEMINATION ACTIVITIES WITH OTHER USOE LIBRARY PROGRAMS, LIBRARY PROGRAMS OF OTHER FEDERAL AGENCIES, AND MEMBERS OF THE LIBRARY COMMUNITY. WHERE POSSIBLE THESE FORMAL LINKAGES SHOULD INCLUDE AGREEMENTS INVOLVING COOPERATIVE PLANNING AND JOINT FUNDING OF PROJECTS, AND GREATER USE OF EXISTING ADVISORY BODIES AND INDIVIDUALS.

Justification

A. These programs sponsor a number of activities which overlap. Products developed by the HEA II-B Library Research and Demonstration Program are highly applicable to LSCA III, LSCA I, and HEA II-B Training Component, and those aspects of ESEA Title IV-B that provide support to the States for school library resources.

B. The two Programs evaluated in this report and other library programs administered by USOE can, and should, increase coordination. For example, the HEA II-B Library Research and Demonstration Program is clearly a Stage 1 activity--innovation and development of library services and resources, applicable to the needs of school, public, academic, and special libraries. The LSCA III Program should be primarily engaged in supporting States' efforts to test the feasibility of adopting innovations developed in Stage 1. A portion of the research supported by the HEA II-B Library Research and Demonstration Program can be tested for adoption/adaption to the States using LSCA III funds. By linking these programs together, and by extending those linkages to other agencies and organizations, USOE will be in an excellent position to formulate a cohesive, effective library policy.

C. Formal linkages, perhaps in the form of interagency agreements, would enable the Federal agencies to: 1) address high priority research and service needs without duplication of effort; 2) develop natural avenues for dissemination; 3) maintain contact with other leaders in research and development; and 4) increase their capacity to address the needs of a national library network.

Management of the HEA II-B Library Research and Demonstration and LSCA III Programs

The success of a focused and enhanced USOE role in library resource development will depend largely upon increasing the effectiveness of Program management. In the past, lack of staff, backup resources, and formalized procedures have severaly hampered planning, decisionmaking, and Program self-assessment. If the Programs are to focus their efforts more sharply and have the impact that is expected of them, it will be necessary to upgrade these management capabilities substantially.

RECOMMENDATION 5: THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION AND LSCA III PROGRAMS NEED TO INITIATE A SERIES OF ACTIVITIES AIMED AT:

- DEFINING THE TYPES OF USABLE INFORMATION AND DATA NEEDED TO MONITOR PROGRAM OPERATIONS AT THE NATIONAL LEVEL, AND TO PROVIDE CONGRESS AND THE LIBRARY AND INFORMATION SCIENCE COMMUNITY WITH CURRENT INFORMATION ON THE STATUS, NEEDS, AND ACTIVITIES OF THE PROGRAMS. THIS COULD BE ACCOMPLISHED MOST EFFECTIVELY THROUGH THE PREPARATION OF AN ANNUAL NATIONAL REPORT;
- REVISING THEIR DATA COLLECTION REQUIREMENTS TO REFLECT THE RESULTS OF THE ABOVE ACTIVITY; AND
- DEVELOPING INFORMATION RETRIEVAL AND DATA ANALYSIS CAPABILITIES, PERHAPS IN CONJUNCTION WITH NCES, WHICH WILL PERMIT THE PROGRAMS TO PROVIDE THE NEEDED DATA IN A TIMELY MANNER AND IN THE MOST USABLE FORM.

Justification

A. The HEA II-B Library Research and Demonstration Program is unable to monitor the progress of projects and the Program on a year-to-year basis because of a lack of usable data. Review of multi-year projects is also inadequate.

B. Data collected by the LSCA III Program in the form of Annual Reports by the States is used minimally at the Federal level. It is not summarized and disseminated to the States. Nor do the data that USOE currently collects accurately reflect the content, scope, cost, or impact of projects and programs currently using LSCA III funds.

C. Prior to this report, neither Program had been able to document its impact and use the results to support annual funding requests.

RECOMMENDATION 6: THE HEA II-B LIBRARY RESEARCH AND DEMONSTRATION AND LSCA III PROGRAMS MUST UPGRADE THE LEVEL AND EXTENT OF PROJECT MONITORING AND TECHNICAL ASSISTANCE THEY CURRENTLY PROVIDE TO PROJECTS AND STATE LIBRARY AGENCIES. THIS WILL REQUIRE THAT ADDITIONAL STAFF BE ASSIGNED TO THESE PROGRAMS AND THAT THESE STAFF BE ABLE TO DRAW UPON THE NECESSARY RESOURCES TO EFFECTIVELY CONDUCT THEIR ACTIVITIES. EXISTING STAFF MUST BE GIVEN THE OPPORTUNITY TO UPGRADE THEIR SKILLS IN THESE AREAS. THE GOAL FOR THESE PROGRAMS SHOULD BE TO BE ABLE TO VISIT EVERY PROJECT OF A GIVEN MINIMUM SIZE ONCE A YEAR; AND MAKE ADDITIONAL VISITS TO PROJECTS, STATE LIBRARY AGENCIES, AND IMPORTANT CONFERENCES ON AN AS-NEEDED BASIS.

Justification

A. The HEA II-B Library Research and Demonstration Program has been unable to exercise the desired levels of control over the projects it funds, and this has undoubtedly contributed to projects failing to fulfill their objectives, to provide timely reports, and to meet other reporting and performance expectations.

B. The projects and State Library Agencies have repeatedly requested that USOE increase the depth and quantity of technical assistance they receive. Currently the Programs are able to provide only minimal monitoring of projects.

C. If funding levels for these Programs are increased as suggested, current staffing levels will be totally inadequate, and the desired focusing of the Federal role will not be possible.

RECOMMENDATION 7: THE STATE LIBRARY AGENCIES NEED TO BE PROVIDED WITH SUBSTANTIAL AMOUNTS OF TECHNICAL ASSISTANCE AND TRAINING IN ORDER TO UPGRADE THE QUALITY AND FREQUENCY OF FORMAL NEEDS ASSESSMENT AND PROJECT EVALUATION ACTIVITIES RELATING TO LSCA III PROJECTS. THIS WILL REQUIRE DISCRETIONARY FUNDS AND/OR ADDITIONAL PERSONNEL AT THE FEDERAL LEVEL WHO CAN PROVIDE THIS ASSISTANCE TO THE STATES AND TAKE A LEADERSHIP ROLE IN THE DEVELOPMENT OF UNIFORM STANDARDS AND GUIDELINES FOR NEEDS ASSESSMENT AND PROJECT EVALUATION ACTIVITIES CONDUCTED BY THE STATES AND THEIR COOPERATIVE AND NETWORKING PROJECTS.

Justification

A. Although the State Library Agencies do conduct needs assessment and evaluations, they rely upon informal methods and do not find those methods to be highly useful for policymaking.

B. The State Library Agencies are responsible for evaluating cooperative and networking projects receiving LSCA III funds, yet the primary method of evaluation used is analysis of cost and usage data; only 25 percent of these projects used formal evaluation methods more likely to provide them (or USOE) with policy relevant information.

C. The State Library Agencies are interested and willing to incorporate more sophisticated methods of needs analysis and evaluation into their activities, but may often lack the skills and in some cases the funds to accomplish this.

RECOMMENDATION 8: THE STATE LIBRARY AGENCIES SHOULD BE ENCOURAGED TO INCLUDE IN POLICYMAKING, PERSONS ACTIVELY INVOLVED IN AND KNOWLEDGEABLE ABOUT LIBRARY NETWORKING AND COOPERATION, AND PERSONS WHO REPRESENT POTENTIAL PARTICIPANTS IN THESE ACTIVITIES.

Justification

A. Librarians are underrepresented in policymaking at the State level. Less than 50 percent of the States report that librarians participate in objective-setting affecting library cooperation and networking.

B. If, as we have recommended, use of LSCA III is shifted away from supporting existing multitype library cooperatives and networks to focus on the testing of new approaches, the State Library Agencies will need to a) draw upon and use the expertise available to them and b) involve the potential users and stakeholders in decisions regarding changes that affect library operations at the local library level.

Changes in USOE Policy Affecting Library Resource Programs

USOE currently provides slightly more than 50 percent of the total Federal outlay of funds to support library services. Within the last four years, USOE has attempted to reduce its role in supporting public and academic library and information services. The results of this study indicate strongly that USOE does, in fact, play a crucial role in the support of library and information service development. However, there has been an absence of focus and direction in the Programs, and as a result they have not had the impact they were expected to have. The following recommendation suggest how USOE can redefine its role with the maximum effectiveness.

RECOMMENDATION 9: THE MOST EFFECTIVE ROLE FOR USOE ADMINISTERED LIBRARY AND INFORMATION SERVICE DEVELOPMENT PROGRAMS IS THAT OF SUPPORTING THE DEVELOPMENT OF NEW AND IMPROVED LIBRARY AND INFORMATION SERVICES, TECHNOLOGY, AND RESOURCES; AND FACILITATING THE INTEGRATION OF THOSE DEVELOPMENTS INTO THE TOTAL SPECTRUM OF BASIC LIBRARY AND INFORMATION SERVICES.

Justification

A. OLLR currently acts as a funding agency, and has been able to exercise only minimal direction over the use of the funds it provides.

B. Given the limited funding that is available, concentration of funds on the above activities will permit USOE to impact the widest range of States, institutions, libraries, and patrons.

C. Members of the library and information community surveyed in this study expect USOE to assume a leadership role in these areas.

APPENDIX A

GLOSSARY

-A-

Acquisition and selection of library materials: Allocation of responsibility for selections, exchange of lists of potential acquisitions, exchange of lists of current acquisitions, etc.

Administration: Includes all activities related to planning, management, and any other administrative functions.

Administrators: Individuals vested with the right of administration.

Advisory Panel (Board): Panel which might consist of representatives of the community and/or experts that provides review and advise on activities of specific projects.

Application Review Panel: Panel of experts in various aspects of library and information science selected to review grant applications received by the U.S. Office of Education's Office of Libraries and Learning Resources for the utilization of HEA II-B Research and Demonstration funds.

-B-

Basic services to users: Provision of materials, information; and guidance in the use of materials and information.

-C-

Catalog card production: Joint catalog card production, cooperative purchase of catalog cards, duplicating cards for members, etc.

Cataloging: Joint cataloging of materials, providing catalog data, computer output on microfilm, etc.

Clearinghouse: A central place where requests for materials or information are received and which in turn provides the needed service or refers requests to the appropriate source.

Clerical and other support staff: Persons providing supportive assistance, receiving, shipping, storing, secretarial duties, keypunching, delivery, plant and vehicle operation, and maintenance.

Consultants: Those who provide professional advise or services.

Continuing Education and training: Training that better equips people for the job they now have or aspire to in the future.

-D-

Decision makers: Those who are charged with the responsibility of arriving at a decision.

Delivery services: Commercial delivery, organization delivery, etc.

Depositories: A library that collects State and/or Federal documents once requested to do so by a State or Federal agency and makes them available to those, who by agreement, have access rights.

Disadvantaged: Those that are culturally, economically or socially deprived and underprivileged.

Dissemination: To spread widely or to disperse throughout, information regarding a given activity.

-E-

ERIC: Educational Resources Information Center; an education clearinghouse sponsored by the National Institute of Education.

Evaluation: The process of determining the value of and success in achieving a predetermined objective. It includes at least the following steps: formulation of the objectives, identification of the proper criteria to be used in measuring success, determination and explanation of the degree of success, recommendations for further program activity.

External assessment: The act of assessing progress conducted by personnel outside of the agency conducting the activity being assessed.

-F-

Fiscal Year: An accounting period of 12 months which does not necessarily coincide with the calendar year. Fiscal Year 1976 for the Federal Government began on July 1, 1975 and ended on June 30, 1976. Fiscal Year 1977 for the Federal Government began on October 1, 1976 and will end on September 30, 1977. We recognize that different states use different start and end dates for their fiscal years.

Five Year State Programs: Programs required by LSCA rules and regulations and developed by State Library Agency.

-G-

GPO: Government Printing Office

Geographic isolates: Geographically set apart from others by distance and requiring special effort to provide services, information, etc.

-H-

HEA: Higher Education Act (P.L. 92-318)

Handicapped: Those that have a disadvantage (physical, emotional, or mental impairment) that makes achievement unusually difficult.

-I-

Intended beneficiaries: Those persons designated to receive the benefits of an action or program.

Interlibrary loans: Includes all activities related to interlibrary loan including the rerouting of interlibrary loan requests.

Interstate library compact: A legal agreement enabling libraries from two or more States to engage in activities and to conduct a financial transaction.

-K-

K-12: Kindergarten to 12th grade, general term referring to primary and secondary education.

-L-

Learning Resource Center: A center that includes non-book materials as well as library books and documents. A term usually used for two year colleges.

Librarians: Those staff members whose work requires professional training and skill in the theoretical and/or specific aspect of library work, as distinct from the mechanical or clerical aspect.

Library Networks and Cooperatives: A library network is a group of libraries that formally agree to engage in activities such as interlibrary loan and reference. A communication network involving telephone, teletype, or computer application is essential to the operation. A Library Cooperative is a group of libraries which formally agree to engage in activities such as joint acquisition of materials, operation of a processing center or education and training of personnel. A communication network involving telephone, teletype, or computer application is not essential to the operation.

Library Technician (Technical Assistant): Has at least two years of college level study or post-secondary school training in relevant skills. Tasks performed are supportive to paraprofessional and higher ranks, following established rules and procedures.

LSCA: Library Services and Construction Act (P.L. 91-600).

LSCA III regulations: A code of Federal regulations published in the Federal Register that amplifies the provisions of LSCA III.

-M-

Membership fees: Includes all receipts derived from membership dues.

-N-

NCLIS: National Commission on Libraries and Information Science.

Needs assessment: An information gathering process generally undertaken in concert with the planning of an activity, program, or project. This process, usually done on a formal basis, involves the systematic collection of information on needs of users of the planned activity in terms of existing services and the capacity of the planned activity. Sources of this information include surveys of user (acutal and/or potential), experts and observers, or published reports.

Networks: See Library Networks and Cooperatives

Non-matching formula: The provision of funds that do not have to be matched by funds from other sources.

-O-

Objectives: Objectives mean the same as "Priorities" the term used in the Act and the Regulations.

OLLR: Office of Libraries and Learning Resources, U.S. Office of Education.

Other professionals: Any staff members who are considered by training and/or performance to be professionals but do not qualify for any of the above categories (e.g., administrators).

Outreach kinds of activities: Active efforts by the library organization to identify users of services, inform those persons and attempt to provide services.

Outside consultants: See Consultants.

-P-

Paraprofessional (Library Associate): Has a B.A. degree and supportive responsibility at a high level, normally working within the established procedures and techniques and with some supervision by a professional.

Participation in Inter-State Networks: To share in the activity of a network whose membership is comprised of libraries of two or more States by means of a formal written agreement and/or payment of dues or fees for services. Examples include: New England Library Network (NELNET), Ohio College Library Center (OCLC), and Continuing Library Education Network Exchange (CLENE).

Planning: Cooperative planning of library development, library construction, library user needs, etc.

Preparation of union catalogs and lists: Preparing and/or maintaining union catalogs and union lists of serials, etc.

Priority setting: The determination of preferential ratings, especially as it relates to a range of actions and limited resources.

Private self interest groups: Freestanding private non-profit and private for profit organizations or agencies such as the Council for Library Resources.

Programmers: Those computer related personnel that are responsible for preparing and testing computer programs.

Promotion and public information: Includes all activities related to the transferring of information about the organization: to libraries, to State and local agencies, to the Federal government, to business and industry, as well as to the general public.

Public relations and publicity: Cooperative promotion and public information that relates the services/activities of the organization to the public and/or user, promoting good relations between the organization and the user, etc.

Purchasing of supplies and equipment: Joint purchasing of supplies such as book jackets, office equipment, audio-visual equipment, etc.

-R-

RPOS: Regional Program Officers.

Reciprocal borrowing privileges: Borrowing from member libraries for users, etc.

Reference services: Includes all activities related to circulation, preparation of subject bibliographies, verification of bibliographic citations, accessing any data bases, responding to information requests, and any other activities related to reference services.

Research analysts: See Researchers.

Research and development: Development of library systems, development of information systems, etc.

Researchers: Those that are responsible for searching or investigating exhaustively.

Routing of interlibrary loan requests: Exchange and/or rerouting of interlibrary loan requests, clearinghouse for interlibrary loan requests, etc.

-S-

Seed Money: Money given to provide a service not provided before with the expectation that this activity will be so beneficial that the recepient will agree to continue it when the seed money is withdrawn. It is used to stimulate support of new services.

Sharing and exchange of equipment: Cooperative use and exchange of equipment such as microfilm readers, reproduction equipment, audio-visual equipment, etc.

Special library: A library organized to make desirable information available to a particular organization or group. Included under this definition are Federal libraries.

Sponsoring Organizations (Agency): The organization that assists and is at times responsible for planning and management of project.

Staff expenses: Staff expenses other than salaries including travel, per diem, insurance, benefits.

Staff salaries: Fixed compensation paid for services to staff members.

State Advisory Council: The council required by LSCA regulations to advise the State Library Agency.

Subject Specialists: Those that are considered experts in a given subject.

Summative evaluations: Evaluation of the additive or cumulative effect conducted at the end of a project.

Systems Analysts: Those that are studying the processes on a project in order to define its goals or purposes and to discover operations and procedures for accomplishing them most efficiently.

-T-

Teachers: Those whose occupation is to instruct.

Technical Assistance: Aide to others in carrying out objectives of the program under the laws and regulations of the enabling act (e.g., HEA II-B, LSCA III). For example, help on how to write a project report or help in understanding the obligations of the legislative Act.

Technical processing services: Includes all activities related to technical processing such as acquisitions, cataloging, book preparation, and binding and rebinding.

Telecommunications: Includes all telecommunications including teletype (TWX and telex), coaxial cable, WATS, telephone, lease lines, and telefacsimile.

-U-

USOE: United States Office of Education

-W-

Warehousing: Central storage facilities, warehousing of materials not in high demand, etc.

APPENDIX B

LEGISLATION AFFECTING LSCA III AND HEA II-B LIBRARY RESEARCH AND DEMONSTRATIONS: HISTORY, ACTS AND ALTERNATIVES

Appendix B.1 - Legislative History of HEA II-B Library Research and Demonstration

Appendix B.2 - Authorizing Legislation for HEA II-B Library Research and Demonstration as of June 30, 1977

Appendix B.3 - Legislative History of LSCA III

Appendix B.4 - Authorizing Legislation for LSCA as of June 30, 1977

Appendix B.5 - Alternatives to the Present Legislation as Presented in the Literature

APPENDIX B.1

LEGISLATIVE HISTORY OF HEA II-B LIBRARY RESEARCH AND DEMONSTRATION

The legislative basis for the Library Research and Demonstration Program, Title II-B of the Higher Education Act, has remained virtually unchanged since initially enacted in 1965.[1] Those changes which have been made since 1965, are related, for the most part, to the methods of allocating funds for projects authorized by the Title. Other changes, such as the emphasis of the Program in terms of the projects selected for funding and the use of an advisory committee to the Office of Education are a reflection of Program changes rather than changes in legislation.

While there was no specific Federal legislative basis for research and demonstrations in library and information sciences prior to 1965, two Programs provided funds for promotion of libraries. The Library Services and Construction Act provided Federal funds for the development of public libraries; the Higher Education Facilities Act of 1963 provided funds to assist in building university and college libraries. Also, Title II of the Elementary and Secondary Education Act of 1965 addressed the issue of library resources in elementary and secondary school programs.

Title II of the Higher Education Act, and more particularly Section 224 of Part B dealing with research and demonstrations, received very little attention during hearings and debates when compared with other titles of the bills before Congress. The Higher Education Act was proposed by the Administration in 1965 and introduced in the House of Representatives as H.R. 9567.

Report No. 621, by the House Committee on Education and Labor to the Whole House, justifies inclusion of research and demonstration in Title II arguing, for example, that "research and demonstrations are essential to the improvement of library training programs and library services in the nation." Also, "effective methods of handling information, the rapid transmission of information, and the application of computers to improve these services would all require effective research."

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[1] The Higher Education Act was enacted on November 8, 1965.

Of the total Federal involvement in research and demonstration, a very small amount was invested in library research (less than $500,000). Specifically, schools of library science were not receiving sufficient funds for research; e.g., of the eight schools offering doctoral programs in 1964, only four had research support in excess of $5,000. It was pointed out to the Committee that the average cost of a project conducting library research over a six-year period was less than $10,000 and that such a low level would not be likely to yield significant results.[1] As a final argument in favor of this section of the Bill, a Committee report suggests that the Committee expected that library research and demonstration centers would result from the grant Program and that these centers would "coordinate national and regional research efforts and give broader circulation to research findings."[2] Reference to this unrealized expectation is absent from subsequent legislative documents.

Debate in the House and Senate over passage of the Higher Education Act centered primarily on the student loan provisions of the Act and the implications of the recently passed Civil Rights Act. Where Title II is discussed, it is very evident that the Title enjoyed broad-based bipartisan support. This is especially true of Part A, Library Resources, and the Training portion of

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[1] Report No. 621, Higher Education Act of 1965, Committee on Education and Labor, U.S. House of Representatives, July 14, 1965, p. 14.

[2] Ibid., p. 14.

Part B. Where Section 224 is cited, it is generally in the context of training of librarians. The House passed H.R. 9567 on August 26, 1965, and sent the Bill to the Senate for consideration. The Senate passed it, with amendments, on September 2, 1965, and on October 19, 1965, the Conference Committee reported out the Bill. Senate amendments to allow research and demonstration grants to individuals and to authorize the Commissioner of Education to appoint an unspecified number of advisory committees and panels were rejected in conference. The legislation was signed into law on November 8, 1965.

In 1971, the Higher Education Act was amended rather extensively. The Senate conducted lengthy hearings during the spring and summer of 1971 to consider S. 659. In its report[1/] the Committee on Labor and Public Welfare expressed concern over lack of the Administrative action in the area of research and training programs in the library and information sciences. To quote the report,

> "The record of decreased emphasis on training and research in library and information sciences, together with the record of the Bureau of Educational Personnel Development in its exercise of discretionary powers can only lead the Committee to believe that the Administration recommendations are designed to phase out training programs in librarianship and in the information sciences. At a time when colleges and universities are moving toward less structured curricula, and when students are granted greater flexibility in courses of study, the necessity of having high quality library resources and trained librarians available for students takes on increased importance."[2/]

The House Committee on Education and Labor in its report on H.R. 7248, the counterpart to S. 659, noted this trend. The library

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[1/] Report No. 92-346, Education Amendments of 1971, a Report by the Senate Committee on Labor and Public Welfare, August 3, 1971, p. 14.

[2/] *Ibid.*, p. 14.

community as represented by the American Library Association[1] sought "explicit authority for library research." The Committee expressed a concern that adequate emphasis on library research and demonstration would be lost if library research were covered under general authority.

Contrasting the two Bills with regard to research and demonstration, the Senate authorized specific funds, while the House version left the issue open to annual consideration. The Senate Bill called for a specific proportion of funds to be allocated to training and research (30 percent); the House Bill authorized specific funding for research and demonstrations.

The Amendments to the Higher Education Act subsequently signed into law, in terms of Title II, are reflective of S. 659. Major amendments to Title II were that 1) a single appropriation covering Parts A and B replaced separate authorizations; 2) within Part B, a specific proportion of funds allocated to Parts A and B of Title II were designated for research and demonstrations; and 3) subpart C of Section 224 (research and demonstrations) were deleted from the law. The authorized funding level for research and demonstrations was approximately $7.5 million for FY 1972, $8.5 million for FY 1973, and $10 million for FY 1974.

Prior to 1971,[2] the program emphasized the application of automated techniques to library functions. During 1971, Office of Education objectives were given new priorities for education of the handicapped: innovation and pluralism in education; elimination of racial, ethnic, and cultural barriers to educational opportunity; and career education development. As a result, emphasis on library research and demonstration projects selected for funding shifted toward meeting the information needs of special target groups (older persons, ethnic groups, institutionalized persons), developing model information services and developing community learning centers. Also, there was a very significant shift to funding of demonstration projects as opposed to funding of research projects.

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[1] Letter to Senator Claiborne Pell from the American Library Association dated June 14, 1971.

[2] 1971-1976 is the focus of this study.

In 1974-75, the Library Partnership Act was introduced in the Senate and subsequently in the House of Representatives. The proposed legislation sought to change the role of the Federal government from one of direct support of services and construction to that of a scurce of funds for exemplary and innovative developments. In a letter to the Subcommittee on Education of the Senate Labor and Public Welfare Committee,[1] the American Library Association noted that the proposed legislation was similar to Title II-B Library Research and Demonstration. ALA recommended that the language of the Library Partnership Act be incorporated into Title II-B for the reason that it offered a means to "encourage the Administration to support a vital training and demonstration program it has totally ignored in recent years."[2] As reported above, this proposed legislation was not supported by the library community and was not passed by Congress.

The final legislative act affecting Title II-B took place on October 12, 1976, when funding authorizations were continued through FY 1979. Title II-B, in its current state (P.L. 92-318), is provided immediately following this discussion.

In general, it can be said that Congressional support for the program has been strong. That is, there has not been an effort to redirect or otherwise change the Legislation, although the same can not be said about the balance of the Higher Education Act which has been amended extensively. Also, Congress has continued to fund the Program, although, funding levels, in terms of appropriated monies have been without exception, far below Congressional authorizations. The Nixon/Ford administrations for the past several years did not support the program as evidenced by the attempts to introduce alternate legislation and requests for zero funding. Also, Congress has tended to consider appropriations without regard to the formula specified in the enabling legislation.

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[1] Letter to the Senate Subcommittee on Education from the American Library Association dated August 1, 1975.

[2] *Ibid*.

The mandate of HEA II-B Library Research and Demonstration, the legislative authority to conduct research and demonstrations relating to libraries and the training of library personnel, is very broad. All types of institutions can apply for funds to conduct research and demonstrations in any aspect of librarianship. Priorities for funding projects are determined by Program officers in accordance with the Office of Education priorities. The Program, as it is presently administered, is congruent with a Federal government role that provides funds for exemplary and innovative developments with particular attention on minority and other special target populations rather than for direct support of services and construction. The Congress justified the inclusion of research and demonstration in Title II on the basis that research and demonstration are essential to the improvement of library training programs and library service in the nation. This goal is broad and ongoing. It is difficult to imagine that the need for library research and demonstration will cease. Chapter 5 of this report indicates the extent to which the legislative intent for HEA II-B Library Research and Demonstration has been met.

APPENDIX B 2

AUTHORIZING LEGISLATION FOR HEA II-B
LIBRARY RESEARCH AND DEMONSTRATION
AS OF JUNE 30, 1977

TITLE II—COLLEGE LIBRARY ASSISTANCE AND LIBRARY TRAINING AND RESEARCH [1]

COLLEGE LIBRARY PROGRAMS; TRAINING; RESEARCH

SEC. 201. (a) The Commissioner shall carry out a program of financial assistance—

(1) to assist and encourage institutions of higher education in the acquisition of library resources, including law library resources, in accordance with part A; and

(2) to assist with and encourage research and training persons in librarianship, including law librarianship, in accordance with part B.

(b) For the purpose of making grants under parts A and B, there are authorized to be appropriated $110,000,000 for fiscal year 1977, $115,000,000 for fiscal year 1978, and $120,000,000 for fiscal year 1979. Of the sums appropriated pursuant to the preceding sentence for any fiscal year, 7 per centum shall be used for the purposes of part A and

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[1] Section 519 of P.L. 93–380 provides as follows:

"SEC. 519. (a) There is established, in the Office of Education, an Office of Libraries and Learning Resources (hereafter in this section referred to as the "Office"), through which the Commissioner shall administer all programs in the Office of Education related to assistance for, and encouragement of, libraries and information centers and education technology.

"(b) The Office shall be headed by a Director, to whom the Commissioner shall delegate his delegable functions with respect to the programs administered through the Office."

30 per centum shall be used for the purposes of part B, except that the amount available for the purposes of part B for any fiscal year shall not be less than the amount appropriated for such purposes for the fiscal year ending June 30, 1972.

(c) For the purposes of this title—

(1) the term "library resources" means books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials, and other related library materials, including necessary binding; and

(2) the term "librarianship" means the principles and practices of the library and information sciences, including the acquisition, organization, storage, retrieval and dissemination of information, and reference and research use of library and information resources.

(20 U.S.C. 1021) Enacted Nov. 8, 1965, P.L. 89-329, Title II, sec. 201, 79 Stat. 1124; amended Oct. 16, 1968, P.L. 90-575, Title II, sec. 211, 82 Stat. 1036; amended June 23, 1972, P.L. 92-138, Title I, sec. 111(b)(1), 86 Stat. 238; amended October 12, 1976, P.L. 94-482, Title I, Part B. sec. 106, 90 Stat. 2089.

Part A—College Library Resources

BASIC GRANTS

Sec. 202. From the amount available for grants under this part pursuant to section 201 for any fiscal year, the Commissioner shall make basic grants for the purposes set forth in section 201(a)(1) to institutions of higher education, to combinations of such institutions, to new institutions of higher education in the fiscal year preceding the fiscal year in which students are to be enrolled (in accordance with criteria prescribed by regulation), and other public and private nonprofit library institutions whose primary function is to provide library and information services to institutions of higher education on a formal, cooperative basis. The amount of a basic grant shall, for any fiscal year, be equal to the amount expended by the applicant for library resources during that year from funds other than funds received under this part, except that no basic grant shall exceed $5,000 for each such institution of higher education and each branch of such institution which is located in a community different from that in which its parent institution is located, as determined in accordance with regulations of the Commissioner, and a basic grant under this subsection may be made only if the application therefor is approved by the Commissioner upon his determination that the application (whether by an individual institution or a combination of institutions)—

(1) provides satisfactory assurance that the applicant will expend during the fiscal year for which the basic grant is sought, from funds other than funds received under this part—

(A) for all library purposes (exclusive of construction), an amount not less than the average annual amount it expended for such purposes during the two fiscal years preceding the fiscal year for which assistance is sought under this part, and

(B) for library resources, an amount not less than the average amount it expended for such resources during the two fiscal years preceding the fiscal year for which assistance is sought under this part.

except that, if the Commissioner determines, in accordance with regulations, that there are special and unusual circumstances which prevent the applicant from making the assurances required by this clause (1), he may waive that requirement for one or both of such assurances;

(2) provides for such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of and accounting for Federal funds paid to the applicant under this section; and

(3) provides for making such reports, in such form and containing such information, as the Commissioner may require to carry out his functions under this section, and for keeping such records and for affording such access thereto as the Commissioner may find necessary to assure the correctness and verification of such reports.

(20 U.S.C. 1022) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 202, 79 Stat. 1224; amended Nov. 3, 1966, P.L. 89–752, sec. 9, 80 Stat. 1243; amended Oct 16, 1968, P.L. 90–575, Title II, sec. 214, 82 Stat. 1037; amended June 23, 1972, P.L. 92–318, Title I, sec. 111 (b) (2) ([illegible]), 86 Stat. 238; amended and redesignated June 23, 1972, P.L. 92–318, Title I, sec. 112, 86 Stat. 240.

SUPPLEMENTAL GRANTS

Sec. 203. (a) From that part of the sums appropriated pursuant to section 201 for the purposes of this part for any fiscal year which remains after making basic grants pursuant to section 202, and which is not reserved for the purposes of section 204, the Commissioner shall make supplemental grants for the purposes set forth in section 201 (a) (1) to institutions of higher education (and to each branch of such institution which is located in a community different from that in which its parent institution is located, as determined in accordance with regulations of the Commissioner) and combinations of such institutions. The amount of a supplemental grant shall not exceed $20 for each full-time student (including the full-time equivalent of the number of part-time students) enrolled in each such institution (or branch), as determined pursuant to regulations of the Commissioner. A supplemental grant may be made only upon application therefor, in such form and containing such information as the Commissioner may require, which application shall—

(1) meet the application requirements set forth in section 202;

(2) describe the size and quality of the library resources of the applicant in relation to its present enrollment and any expected increase in its enrollment;

(3) set forth any special circumstances which are impeding or will impede the proper development of its library resources; and

(4) provide a general description of how a supplemental grant would be used to improve the size or quality of its library resources.

(b) The Commissioner shall approve applications for supplemental grants on the basis of basic criteria prescribed in regulations and developed after consultation with the Council created under section 205. Such basic criteria shall be such as will best tend to achieve the objectives of this part and they (1) may take into consideration factors such as the size and age of the library collection and student enrollment, and (2) shall give priority to institutions in need of financial assistance for library purposes.

(20 U.S.C. 1023) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 203, 79 Stat. 1225; amended Oct. 16, 1968, P.L. 90–575, Title II, sec. 212(a); amended June 23, 1972, P.L. 92–318, Title I, sec. 111(b)(2)(B), 86 Stat. 239; sec. 112(b)(2), 86 Stat. 240; and sec. 113(a), 86 Stat. 240.

SPECIAL PURPOSE GRANTS

Sec. 204. (a)(1) From the sums appropriated pursuant to section 201 for the purposes of this part for any fiscal year, the Commissioner is authorized to reserve not to exceed 25 per centum thereof for the purposes of this section.

(2) Sums received pursuant to paragraph (1) may be used to make special grants (A) to institutions of higher education (or to branches of such institutions which are located in a community different from that in which the parent institution is located, as determined in accordance with regulations of the Commissioner) which demonstrate a special need for additional library resources and which demonstrate that such additional library resources will make a substantial contribution to the quality of their educational resources, (B) to institutions of higher education (or to such branches) to meet special national or regional needs in the library and information sciences, (C) to combinations of institutions of higher education which need special assistance in establishing and strengthening joint-use facilities. Grants under this section may be used only for books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials, and other related library materials (including necessary binding), and (D) to other public and private nonprofit library institutions which provide library and information services to institutions of higher education on a formal, cooperative basis.

(b) Grants pursuant to paragraph (2) shall be made upon application providing satisfactory assurance that (1) the applicant (or applicants jointly in the case of a combination of institutions) will expend during the fiscal year for which the grant is requested (from funds other than funds received under this part) for the same purpose as such grant an amount from such other sources equal to not less than 33⅓ per centum of such grant, and (2) in addition each such applicant will expend during such fiscal year (from such other sources) for all library purposes (exclusive of construction) an amount not less than the average annual amount it expended for such purposes during the two-year period ending June 30, 1965, or during the two fiscal years preceding the fiscal year for which the grant is requested, whichever is less.

(20 U.S.C. 1024) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 204, 79 Stat. 1226; amended Oct. 16, 1968, P.L. 90–575, Title II, secs. 212(b), 213, 82 Stat. 1036–1037; amended June 23, 1972, P.L. 92–318, Title I, sec. 111(b)(2)(C), 86 Stat. 239.

ADVISORY COUNCIL ON COLLEGE LIBRARY RESOURCES

Sec. 205. (a) The Commissioner shall establish in the Office of Education an Advisory Council on College Library Resources consisting of the Commissioner, who shall be Chairman, and eight members appointed, without regard to the civil service laws, by the Commissioner with the approval of the Secretary.

(b) The Advisory Council shall advise the Commissioner with respect to establishing criteria for the making of supplemental grants under section 203 and the making of special purpose grants under section 204. The Commissioner may appoint such special advisory and technical experts and consultants as may be useful in carrying out the functions of the Advisory Council.

(20 U.S.C. 1025) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 205, 79 Stat. 1226; subsection (c) repealed April 13, 1970, P.L. 91–230, sec. 401 (h) and superseded by pt. C of title IV of P.L. 90–247, as amended. (20 U.S.C. 1233c)

ACCREDITATION REQUIREMENT FOR PURPOSES OF THIS PART

Sec. 206. For the purposes of this part, an educational institution shall be deemed to have been accredited by a nationally recognized accrediting agency or association if the Commissioner determines that there is satisfactory assurance that upon acquisition of the library resources with respect to which assistance under this part is sought, or upon acquisition of those resources and other library resources planned to be acquired within a reasonable time, the institution will meet the accreditation standards of such agency or association.

(20 U.S.C. 1026) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 206, 79 Stat. 1226.

LIMITATIONS

Sec. 207. No grant may be made under this part for books, periodicals, documents, or other related materials to be used for sectarian instruction or religious worship, or primarily in connection with any part of the program of a school or department of divinity.

(20 U.S.C. 1207) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 207, 79 Stat. 1227; amended June 23, 1972, P.L. 92–318, sec. 131(d) (2), 86 Stat. 260.

CONSULTATION WITH STATE AGENCY

Sec. 208. Each institution of higher education which receives a grant under this part shall periodically inform the State agency (if any) concerned with the educational activities of all institutions of higher education in the State in which such institution is located, of its activities under this part.

(20 U.S.C. 1028) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 208, 79 Stat. 1227.

Part B—Library Training and Research

TRAINING AND RESEARCH PROGRAMS

Sec. 221. From the amount available for grants under this part pursuant to section 201 for any fiscal year, the Commissioner shall carry out a program of making grants in accordance with sections 222 and 223. Of such amount, 66⅔ per centum shall be available for the purposes of section 222 and 33⅓ per centum shall be available for the purposes of section 223.

(20 U.S.C. 1031) Enacted June 23, 1972, P.L. 92–318, Title I, sec. 111(b) (3) (A), 86 Stat. 239.

SEC. 222. (a) The Commissioner is authorized to make grants to institutions of higher education and library organizations or agencies to assist them in training persons in librarianship. Such grants may be used by such institutions, library organizations or agencies (1) to assist in covering the cost of courses of training or study (including short term or regular session institutes) for such persons, (2) for establishing and maintaining fellowships or traineeships with stipends (including allowances for traveling, subsistence, and other expenses) for fellows and others undergoing training and their dependents, not in excess of such maximum amounts as may be prescribed by the Commissioner, and (3) for establishing, developing, or expanding programs of library and information science. Not less than 50 per centum of the grants made under this subsection shall be for the purpose of establishing and maintaining fellowships or traineeships under clause (2).

(b) The Commissioner may make a grant to an institution of higher education and library organizations or agencies only upon application by the institution and only upon his finding that such program will substantially further the objective of increasing the opportunities throughout the Nation for training in librarianship.

(20 U.S.C. 1033) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 223, 79 Stat. 1227; amended Oct. 16, 1968, P.L. 90–575, Title II, sec. 216, 82 Stat. 1037; amended June 23, 1972, P.L. 92–318, Title I, secs. 111(b)(3)(B) and (K); redesignated by P.L. 92–318, sec. 111(b)(3)(D), 86 Stat. 240.

RESEARCH AND DEMONSTRATIONS RELATING TO LIBRARIES AND THE TRAINING OF LIBRARY PERSONNEL

SEC. 223. (a) The Commissioner is authorized to make grants to institutions of higher education and other public or private agencies, institutions, and organizations, for research and demonstration projects relating to the improvement of libraries or the improvement of training in librarianship, including the development of new techniques, systems, and equipment for processing, storing, and distributing information, and for the dissemination of information derived from such research and demonstrations, and, without regard to section 3709 of the Revised Statutes (41 U.S.C. 5), to provide by contracts with them for the conduct of such activities; except that no such grant may be made to a private agency, organization, or institution other than a nonprofit one.

(b) The Commissioner is authorized to appoint a special advisory committee of not more than nine members to advise him on matters of general policy concerning research and demonstration projects relating to the improvement of libraries and the improvement of training in librarianship, or concerning special services necessary thereto or special problems involved therein.

(20 U.S.C. 1034) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 224, 79 Stat. 1228; subsec. (c) repealed Apr. 13, 1970, P.L. 91–230, sec. 401(h) and superseded by pt. C of title IV of P.L. 90–247, as amended. (20 U.S.C. 1233c.); redesignated June 23, 1972, P.L. 92–318, Title I, sec. 111(b)(3)(D), 86 Stat. 240.

PART C—STRENGTHENING RESEARCH LIBRARY RESOURCES

FINDINGS AND PURPOSE

SEC. 231. (a) The Congress finds that—

(1) education, scholarship, and research are significant to the scientific, economic, and cultural development of the Nation, and that steady advances in the social and natural sciences are essential to solve the problems of a complex society;

(2) the Nation's major research libraries are often an essential element in undergraduate education, and are essential to advanced and professional education and research; and

(3) the expansion in the scope of educational and research programs and the rapid increase in the worldwide production of recorded knowledge have placed unprecedented demands upon major research libraries, requiring programs and services that strain the capabilities of cooperative action and are beyond the financial competence of individual or collective library budgets.

(b) It is the purpose of this part to promote research and education of higher quality throughout the United States by providing financial assistance to major research libraries.

(20 U.S.C. 1041) Enacted Nov. 8, 1965, P.L. 89–329, Title II, sec. 231, 79 Stat. 1228; amended Oct. 16, 1968, P.L. 90–575, Title II, sec. 217, 218, 82 Stat. 1037–1038; amended June 23, 1972, P.L. 92–318 ,title I, sec. 114, 86 Stat. 240; amended October 12, 1976, P.L. 94–482, Title I, Part B, sec. 107, 90 Stat. 2090.

APPROPRIATIONS AUTHORIZED

SEC. 232. There are authorized to be appropriated $10,000,000 for the fiscal year 1977, $15,000,000 for fiscal year 1978, and $20,000,000 for fiscal year 1979.

(20 U.S.C. 1042) Enacted June 23, 1972, P.L. 92–318, Title I, sec. 115(a), 86 Stat. 241; amended Oct. 12, 1976, P.L. 94–482, Title I, Part B, sec. 107, 90 Stat. 2090.

ELIGIBILITY FOR ASSISTANCE

SEC. 233. For the purposes of this part, the term "major research library" means a public or private nonprofit institution, including the library resources of an institution of higher education, an independent research library, or a State or other public library, having library collections which are available to qualified users and which—

(1) make a significant contribution to higher education and research;

(2) are broadly based and are recognized as having national or international significance for scholarly research;

(3) are of a unique nature, and contain material not widely available; and

(4) are in substantial demand by researchers and scholars not connected with that institution.

(b) No institution receiving a grant under this part for any fiscal year may be eligible to receive a basic grant under section 202 of this title for that year.

(20 U.S.C. 1043) Enacted Oct. 12, 1976, P.L. 94–482, Title I, Part B, sec. 107, 90 Stat. 2090.

EQUITABLE DISTRIBUTION OF ASSISTANCE

SEC. 234. The Commissioner shall establish criteria designed to achieve regional balance in the allocation of funds under this part which is reasonable in light of the requirements of section 233.

(20 U.S.C 1044) Enacted Oct. 12, 1976, Title I, Part B, Sec. 107, 90 Stat. 2090.
2090.

LIMITATIONS

SEC. 235. (a) No grant may be made under this part for books, periodicals, documents, or other related materials to be used for sectarian instruction or religious worship, or primarily in connection with any part of the program of a school or department of divinity.

(b) Not more than 150 institutions may receive a grant under this part.

(20 US.C. 1045) Enacted Oct. 12, 1976, Title I, Part B, Sec. 107, 90 Stat. 2091.
2091.

CONSULTATION WITH STATE AGENCY

SEC. 236. Each institution receiving a grant under this part shall periodically inform the State Library administrative agency and the State agency, if any, concerned with the educational activities of all institutions of higher education in the State in which such institution is located, of its activities under this part.

(20 U.S.C. 1046) Enacted Oct. 12, 1976, Title I, Part B, Sec 107, 90 Stat. 2091.
2091.

APPENDIX B.3

LEGISLATIVE HISTORY OF LSCA III

The Library Services Act (P.L. 84-597), as signed into law on June 19, 1956, was intended to stimulate the States to provide improved public library services to rural areas. For purposes of this Act, rural areas are defined as incorporated and unincorporated places of less than 10,000 inhabitants. Key provisions of this act included the requirement that each State (a) designate a library extension agency to appropriate the funds; (b) prepare a State plan to effectively utilize funds and submit that plan to the U.S. Office of Education; (c) use the money for purchases of library materials, salaries, operating expenses, but not for capital investment; and (d) maintain library expenditures at a level equal to 1956 expenditures. Each State is allocated a base funding amount of $40,000.

Between 1956 and 1962 the Act was amended to provide for inclusion of Guam (P.L. 84-896, August 1, 1956) and the extension of the legislation for five years (P.L. 86-679, August 31, 1960). In 1964 the-Act was further amended (P.L. 88-269, February 11, 1964) to include urban areas and to provide funding for public library construction. In addition, the name of the Act was changed to the Library Services and Construction Act. The 1964 amendments marked a significant point in the Act's history.

With passage of P.L. 89-511 (July 19, 1966), the Library Services and Construction Act underwent its third major change, the primary concern of this study. LSCA was extended for another five years and two new titles were added. Title III, Interlibrary Cooperation, was formulated for "establishing and operating local regional, State or interstate cooperative networks of libraries."[2]

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[1] Materials used to prepare this history include the records of Congressional floor debates, Congressional hearings and committee reports, statements by members of the library community, and statements by the staff of the Department of Health, Education, and Welfare.

[2] 20 USC 351, Section 301.

Title IV, consisting of two parts, provided funds for State programs to establish and improve State institutional library services (Part A), and library service to the physically handicapped (Part B). Also, the Pacific Trust Territories were included under LSCA for the first time.

Congressional action regarding LSCA (P.L. 89-511 in July, 1966) is noteworthy for its lack of controversy and debate. Issues of concern were the level of funding authorization, which is discussed later, and the authorization of funds for five years. Careful review of legislative documents indicates that the House of Representatives gave careful attention to this legislation. Approximately 30 Bills were introduced in both houses of Congress to amend the Library Services and Construction Act with H.R. 14050, sponsored by Mr. Pucinski of Illinois, emerging as the focus of consideration.

This Bill and two others were the subject of hearings before the House Select Subcommittee on Education of the Committee of Education and Labor on April 19, 20, 21, and 25, 1966. The importance of Title III, Interlibrary Cooperation was based on the need to "promote the systematic use of funds by libraries of all types to assure their maximum effective use .... although Title I of LSCA authorized the expenditure of funds to secure interlibrary cooperation, the approach was a fragmented one"[1/] and did not receive the attention and funds it deserved. It is evident that interlibrary cooperation was of sufficient importance to require a separate title. On April 27, 1966, the Committee on Labor and Education amended H.R. 14050 and voted the Bill favorably for consideration by the House. On June 22, 1966, the House met as the Committee of the Whole House on the State of the Union. They considered and

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[1/] 2nd Session, 89th Congress, House of Representatives Report No. 1474, May 4, 1966, p. 12.

and passed the Library Services and Construction Act (H.R. 14050). According to the Congressional Record of that day LSCA was passed overwhelmingly (337 to 2), evidencing extensive bipartisan support. Some Republican spokesmen viewed the administration requests for FY 1967 of 30.5 million dollars as excessive, but the House voted down an amendment to H.R. 14050, introduced by Mr. Gurney of Florida, which would have decreased the level of funding.[1]

Statements by Members of the House indicate the role Title III was expected to have in library development. Mr. Pucinski of Illinois, sponsor of the bill, saw the impact of Title III funds in terms of capacity to "make possible the establishment of regional retrieval centers and make available to the individual vastly expanded library services in his particular community ..." He also observed that: "Such a separate Title, even with its small authorization, would stimulate the States to great activity in this area, and would result in greater efficiency and effectiveness of service through elimination of overlapping or duplication."[2] Mr. Dent of Pennsylvania indicated that "some libraries have entered into cooperative programs (because of the high cost of materials) ... Title III ... would promote economy and efficiency, and would bring a wider range of books and other publications to a broader segment of the population.[3] Representative Meeds of Washington, in addition to citing results of ongoing cooperative ventures, stated:

> "A willingness to meet the needs of the many publics to cooperate and to yield autonomy are frequently given as the requisites for coordinated library development.

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[1] Congressional Record, House, June 2, 1966, p. 12157-12172.

[2] Congressional Record, House, June 2, 1966, p. 12144.

[3] Congressional Record, House, June 2, 1966, p. 12147.

> These attitudes on the part of library personnel must produce, on a national level, agreements on such matters as compatible standards and statistics, standardized procedures, revised and compatible job descriptions, interstate legislative compacts, and financial resource and distribution patterns to support coordinated efforts. Coordinated development can go only so far when it is based on local cooperation. Eventually, it must be recognized as inevitable and be supported by innovation at the national level."[1]

Recognizing the implications Title III might have for planning of library development, Mr. Hawkins of California stated that:

> "State plans for interlibrary cooperation will require careful evaluation of existing library resources and will encourage a joint solution to problems of giving good library service.[2]

Mr. Fogarty of Rhode Island, discussing Title III in the context of Federal library legislation, stated that the essential value of this Title becomes clear when you consider the variety of existing Federal legislation to assist school libraries (Title II, ESEA), and academic libraries (Title II-A, HEA)."[3]

On June 2, 1966, the House passed H.R. 14050. On June 22, 1966, the Senate considered and passed H.R. 14050 with the following amendment affecting Title III: that a 50-50 matching of State and Federal funds be required after FY 1967.[4] On June 28, 1967, H.R. 14050 was adopted by the House, as amended by the Senate.

In 1967, the Library Services and Construction Act was again amended (P.L. 90-154), November 24, 1967). Titles III and IV were modified to provide 100 percent Federal funds for the first year of the program. For FY 1968 and FY 1969 a 50-50 matching of State and Federal funds was required.

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[1] Congressional Record, House, June 2, 1966, p. 12153.

[2] Congressional Record, House, June 2, 1966, p. 12159.

[3] Congressional Record, House, June 2, 1966, p. 12165.

[4] Senate consideration of the extension and amending of the Library Services and Construction Act was largely procedural.

A fourth major point in the history of the LSCA came in 1970 when the legislation again was considered for another five-year extension. There were two principal bills introduced to amend LSCA. The Senate version (S. 3318) sought to combine Title IV (Special Services) with Title I, to consolidate reporting requirements, and to increase the Federal share of Title III funding from 50 to 100 percent, thus eliminating the 50-50 matching requirement. H.R. 16365, representing Administration preferences, also sought to combine separate titles into a single program and to consolidate reporting requirements. Arguments presented by the Administration in favor of consolidation included strengthened effectiveness and consistency with Administration efforts to decentralize control of various Federal programs.

Testimony by members of the library community before the cognizant House and Senate Committees indicated resistance to the merging of services, construction programs, and interlibrary cooperation since construction and cooperation were not felt to be services. Separate titles, it was said, "help insulate the State from competing pressures for funds."1/

A spokesman for the American Library Association, Keith Doms, testified in favor of extending LSCA as well as supporting interlibrary cooperation as a separate program. Judging from reports of hearings on LSCA before the House and Senate Committees, it is

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1/ Statement by Roger H. McDonough, Director of the State Library of New Jersey, and spokesman for the Association of State Libraries Agencies (of the American Library Association) before the Select Subcommittee on Education. House Committee on Education and Labor, September 10, 1970.

apparent that the library community preferred the Senate Bill which maintained library services, construction, and interlibrary cooperation as separate titles.

The Senate form of the LSCA amendment was approved by both Houses of Congress. The outcome was to extend the programs for another five years and to increase the Federal share of Title III funding from 50 to 100 percent. In addition, the reporting requirements for each Title were consolidated to provide that each State would be required to submit (i) a basic State plan for the total LSCA program, (ii) a long-range program consisting of a five-year program identifying needs and activities to be undertaken to meet those identifying needs, and (iii) an annual program plan for Title I, II, and III to fulfill the five-year plan. (Title IV was consolidated into Title 1.)

The Administration proposed changing the Library Services and Construction Act form its three distinct Titles, each with its own categorical funding, to a single program of discretionary demonstration grants. Known as the Library Partnership Act, this proposal was submitted on behalf of the Republican Administration by Mr. Javits of New York (S. 3944) in August, 1974. It proposed shifting the Federal role of supporting services and construction to "encourage innovative developments in the delivery of library and information services through resource sharing and other cooperative techniques, with special attention to the needs of the disadvantaged."[1/] Thus, it was the Administration's position that the categorical and operational support funding was the responsibility of local and State levels of government. Testimony by the Executive Deputy Commissioner of Education in December 1975, before the House Select Subcommittee on Education of the Committee on Education and Labor, indicates that the intent of Title III would be maintained, "to encourage State, interstate, and/or regional cooperative networks of

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[1/] Letter to the Speaker of the House, Carl Albert, from the Secretary of Health, Education, and Welfare dated March 6, 1975.

libraries in order to provide a systematic and effective coordination of resources of school, public, academic, and special libraries in a more cost effective and more efficient service pattern." Furthermore, it was suggested that the LPA would fund projects of a similar nature to those funded through the Research and Demonstration Component of Title II-B of the Higher Education Act but that HEA II-B Library Research and Demonstration was not adequate to accomplish LPA objectives. Not acted upon, it was resubmitted to the House of Representatives on March 6, 1975 at the request of the Administration, again unsuccessfully. Since then, no other attempts have been made to introduce LPA.

The only other significant change made to the Act is that the 95th Congress extended LSCA another five years and added to the law an urban library provision. This provision is triggered when funding of LSCA I exceeds $60 million and would provide a set-aside for urban library services. The bill was signed by the President on October 7, 1977. There is no explicit impact upon LSCA III. Nor is it clear when the set-aside will take effect. Fiscal 1078 appropriations for LSCA I totaled only $56.9 million.

APPENDIX B.4

AUTHORIZING LEGISLATION FOR LSCA
AS OF JUNE 30, 1977

PART VII—PUBLIC LIBRARY PROGRAMS

The Library Services and Construction Act [1, 2]

(P.L. 597, 84th Congress)

AN ACT To promote the further development of public library services

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Library Services and Construction Act."

DECLARATION OF POLICY

SEC. 2. (a) It is the purpose of this Act to assist the States in the extension and improvement of public library services in areas of the States which are without such services or in which such services are inadequate, and with public library construction, and in the improvement of such other State library services as library services for physically handicapped, institutionalized, and disadvantaged persons, in strengthening State library administrative agencies, and in promoting interlibrary cooperation among all types of libraries.

(b) Nothing in this Act shall be construed to interfere with State and local initiative and responsibility in the conduct of library services. The administration of libraries, the selection of personnel and library books and materials, and, insofar as consistent with the purposes of this Act, the determination of the best uses of the funds provided under this Act shall be reserved to the States and their local subdivisions.

(20 U.S.C. 351) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1660.

DEFINITIONS

SEC. 3. The following definitions shall apply to this Act:

(1) "Commissioner" means the Commissioner of Education.

(2) "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term in-

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[1] Sec. 519 of P.L. 93-380 provides as follows:

"Sec. 519 (a) There is established, in the Office of Education, an Office of Libraries and Learning Resources (hereafter in this section referred to as the "Office"), through which the Commissioner shall administer all programs in the Office of Education related to assistance for, and encouragement of, libraries and information centers and education technology.

"(b) The Office shall be headed by a Director, to whom the Commissioner shall delegate his delegable functions with respect to the programs administered through the Office."

[2] Title II. Section 204(13) of P.L. 94-274 (Enacted April 21, 1976, 90 Stat. 392, 393) provides that the period of July 1, 1976, through September 30, 1976, shall be treated as part of the fiscal year beginning July 1, 1975, for the purposes of the Library Services and Construction Act.

cludes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

(3) "Library service" means the performance of all activities of a library relating to the collection and organization of library materials and to making the materials and information of a library available to a clientele.

(4) "Library services for the physically handicapped" means the providing of library services, through public or other nonprofit libraries, agencies, or organizations, to physically handicapped persons (including the blind and other visually handicapped) certified by competent authority as unable to read or to use conventional printed materials as a result of physical limitations.

(5) "Public library" means a library that serves free of charge all residents of a community, district, or region, and receives its financial support in whole or in part from public funds. Such term also includes a research library, which, for the purposes of this sentence, means a library which—

(A) makes its services available to the public free of charge;

(B) has extensive collections of books, manuscripts, and other materials suitable for scholarly research which are not available to the public through public libraries;

(C) engages in the dissemination of humanistic knowledge through services to readers, fellowships, educational and cultural programs, publication of significant research, and other activities; and

(D) is not an integral part of an institution of higher education.

(6) "Public library services" means library services furnished by a public library free of charge.

(7) "State" means a State, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, or the Trust Territory of the Pacific Islands.

(8) "State Advisory Council on Libraries" means an advisory council for the purposes of clause (3) of section 6(a) of this Act which shall—

(A) be broadly representative of the public, school, academic, special, and institutional libraries, and libraries serving the handicapped, in the State and of persons using such libraries, including disadvantaged persons within the State;

(B) advise the State library administrative agency on the development of, and policy matters arising in the administration of, State plan; and

(C) assist the State library administrative agency in the evaluation of activities assisted under this Act;

(9) "State institutional library services" means the providing of books and other library materials, and of library services, to (A) inmates, patients, or residents of penal institutions, reformatories, residential training schools, orphanages, or general or special institutions or hospitals operated or substantially supported by the State, or (B) students in residential schools for the physically handicapped (including mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, crippled, or other health impaired persons who by reason thereof require special education) operated or substantially supported by the State.

(10) "State library administrative agency" means the official agency of a State charged by law of that State with the extension and development of public library services throughout the State, which has adequate authority under law of the State to administer State plans in accordance with the provisions of this Act.

(11) "Basic State plan" means the document which gives assurances that the officially designated State library administrative agency has the fiscal and legal authority and capability to administer all aspects of this Act; provides assurances for establishing the State's policies, priorities, criteria, and procedures necessary to the implementation of all programs under provisions of this Act; and submits copies for approval as required by regulations promulgated by the Commissioner.

(12) "Long-range program" means the comprehensive five-year program which identifies a State's library needs and sets forth the activities to be taken toward meeting the identified needs supported with the assistance of Federal funds made available under this Act. Such long-range programs shall be developed by the State library administrative agency and shall specify the State's policies, criteria, priorities, and procedures consistent with the Act as required by the regulations promulgated by the Commissioner and shall be updated as library progress requires.

(13) "Annual program" means the projects which are developed and submitted to describe the specific activities to be carried out annually toward achieving fulfillment of the long-range program. These annual programs shall be submitted in such detail as required by regulations promulgated by the Commissioner.

(20 U.S.C. 351a) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1660; amended October 19, 1973, P.L. 93-133, sec. 4(a), 87 Stat. 466.

AUTHORIZATIONS OF APPROPRIATIONS

SEC. 4. (a) For the purpose of carrying out the provisions of this Act the following sums are authorized to be appropriated:

(1) For the purpose of making grants to States for library services as provided in title I, there are authorized to be appropriated $112,000,000 for the fiscal year ending June 30, 1972, $117,600,000 for the fiscal year ending June 30, 1973, $123,500,000 for the fiscal year ending June 30, 1974, $129,675,000 for the fiscal year ending June 30, 1975, and $137,150,000 for the fiscal year ending June 30, 1976.

(2) For the purpose of making grants to States for public library construction, as provided in title II, there are authorized to be appropriated $80,000,000 for the fiscal year ending June 30, 1972, $84,000,000 for the fiscal year ending June 30, 1973, $88,000,000 for the fiscal year ending June 3, 1974, $92,500,000 for the fiscal year ending June 30, 1975, and $97,000,000 for the fiscal year ending June 30, 1976.

(3) For the purpose of making grants to States to enable them to carry out interlibrary cooperation programs authorized by title III, there are hereby authorized to be appropriated $15,000,000 for the fiscal year ending June 30, 1972, $15,750,000 for the fiscal year ending June 30, 1973, $16,500,000 for the fiscal year ending June 30, 1974, $17,300,000 for the fiscal year ending June 30, 1975, and $18,200,000 for the fiscal year ending June 30, 1976.

(4) For the purpose of making grants to States to enable them to carry out public library service programs for older persons authorized by title IV, there are authorized to be appropriated such sums as may be necessary for the fiscal year ending June 30, 1973, the fiscal year ending June 30, 1974, the fiscal year ending June 30, 1975, and the fiscal year ending June 30, 1976.

(b) Notwithstanding any other provision of law, unless enacted in express limitation of the provisions of this subsection, any sums appropriated pursuant to subsection (a) shall (1), in the case of sums appropriated pursuant to paragraphs (1) and (3) thereof, be available for obligation and expenditure for the period of time specified in the Act making such appropriation, and (2), in the case of sums appropriated pursuant to paragraph (2) thereof, subject to regulations of the Commissioner promulgated in carrying out the provisions of section 5(b), be available for obligation and expenditure for the year specified in the Appropriation Act and for the next succeeding year.

(20 U.S.C. 315b) Enacted Dec. 30, 1970, P.L. 91–600, sec. 2(b), 84 Stat. 1662; amended May 3, 1973, P.L. 93–29, sec. 801, 87 Stat. 59.

ALLOTMENTS TO STATES

SEC. 5. (a)(1) From the sums appropriated pursuant to paragraph (1), (2), (3), or (4) of section 4(a) for any fiscal year, the Commissioner shall allot the minimum allotment, as determined under paragraph (3) of this subsection, to each State. Any sums remaining after minimum allotments have been made shall be allotted in the manner set forth in paragraph (2) of this subsection.

(2) From the remainder of any sums appropriated pursuant to paragraph (1), (2), (3), or (4) of section 4(a) for any fiscal year, the Commissioner shall allot to each State such part of such remainder as the population of the State bears to the population of all the States.

(3) For the purposes of this subsection, the "minimum allotment" shall be—

(A) with respect to appropriations for the purposes of title I, $200,000 for each State, except that it shall be $40,000 in the case of Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands;

(B) with respect to appropriations for the purposes of title II, $100,000 for each State, except that it shall be $20,000 in the case of Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands;

(C) with respect to appropriations for the purposes of title III, $40,000 for each State, except that it shall be $10,000 in the case of Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands; and

(D) with respect to appropriations for the purposes of title IV, $40,000 for each State, except that it shall be $10,000 in the case of Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands.

If the sums appropriated pursuant to paragraph (1), (2), (3), or (4) of section 4(a) for any fiscal year are insufficient to fully satisfy the aggregate of the minimum allotments for that purpose, each of such minimum allotments shall be reduced ratably.

(4) The population of each State and of all the States shall be determined by the Commissioner on the basis of the most recent satisfactory data available to him.

(5) There is hereby authorized for the purpose of evaluation (directly or by grants or contracts) of programs authorized by this Act, such sums as Congress may deem necessary for any fiscal year.

(b) The amount of any State's allotment under subsection (a) for any fiscal year from any appropriation made pursuant to paragraph (1), (2), or (3) of section 4(a) which the Commissioner deems will not be required for the period and the purpose for which such allotment is available for carrying out the State's annual program shall be available for reallotment from time to time on such dates during such year as the Commissioner shall fix. Such amount shall be available for reallotment to other States in proportion to the original allotments for such year to such States under subsection (a) but with such proportionate amount for any of such other State being reduced to the extent that it exceeds the amount which the Commissioner estimates the State needs and will be able to use for such period of time for which the original allotments were made and the total of such reductions shall be similarly reallotted among the States not suffering such a reduction. Any amount reallotted to a State under this subsection for any fiscal year shall be deemed to be a part of its allotment for such year pursuant to subsection (a).

(20 U.S.C. 351c) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1662; amended May 3, 1973, P.L. 93-29, sec. 801, 87 Stat. 59.

STATE PLANS AND PROGRAMS

SEC. 6. (a) Any State desiring to receive its allotment for any purpose under this Act for any fiscal year shall (1) have in effect for such fiscal year a basic State plan as defined in section 3(11) and meeting the requirements set forth in subsection (b), (2) submit an annual program as defined in section 3(13) for the purposes for which allotments are desired, meeting the appropriate requirements set forth in titles I, II, III, and IV and shall submit (no later than July 1, 1972) a long-range program as defined in section 3(12) for carrying out the purposes of this Act as specified in subsection (d), and (3) establish a State Advisory Council on Libraries which meets the requirements of section 3(8).

(b) A basic State plan under this Act shall—

(1) provide for the administration, or supervision of the administration, of the programs authorized by this Act by the State library administrative agency;

(2) provide that any funds paid to the State in accordance with with a long-range program and an annual program shall be expended solely for the purposes for which funds have been authorized and appropriated and that such fiscal control and fund accounting procedures have been adopted as may be necessary to assure proper disbursement of, and account for, Federal funds paid to the State (including any such funds paid by the State to any other agency) under this Act;

(3) provide satisfactory assurance that the State agency administering the plan (A) will make such reports, in such form

and containing such information, as the Commissioner may reasonably require to carry out his functions under this Act and to determine the extent to which funds provided under this Act have been effective in carrying out its purposes, including reports of evaluations made under the State plans, and (B) will keep such records and afford such access thereto as the Commissioner may find necessary to assure the correctness and verification of such reports; and

(4) set forth the criteria to be used in determining the adequacy of public library services in geographical areas and for groups of persons in the State, including criteria designed to assure that priority will be given to programs or projects which serve urban and rural areas with high concentrations of low-income families and to programs and projects which serve areas with high concentrations of persons of limited English-speaking ability (as defined in section 703(a) of title VII of the Elementary and Secondary Education Act of 1965, as amended).

(c)(1) The Commissioner shall not approve any basic State plan pursuant to this Act for any fiscal year unless—

(A) the plan fulfills the conditions specified in section 3(11) and subsection (b) of this section and the appropriate titles of this Act;

(B) he has made specific findings as to the compliance of such plan with requirements of this Act and he is satisfied that adequate procedures are subscribed to therein insure that any assurances and provisions of such plan will be carried out.

(2) The State plan shall be made public as finally approved.

(3) The Commissioner shall not finally disapprove any basic State plan submitted pursuant to subsection (a)(1), or any modification thereof, without first affording the State reasonable notice and opportunity for hearing.

(d) The long-range program of any State for carrying out the purposes of this Act shall be developed in consultation with the Commissioner and shall—

(1) set forth a program under which the funds received by the State under the programs authorized by this Act will be used to carry out a long-range program of library services and construction covering a period of not less than three nor more than five years;

(2) be annually reviewed and revised in accordance with changing needs for assistance under this Act and the results of the evaluation and surveys of the State library administrative agency;

(3) set forth policies and procedures (A) for the periodic evaluation of the effectiveness of programs and projects supported under this Act, and (B) for appropriate dissemination of the results of such evaluations and other information pertaining to such programs or projects; and

(4) set forth effective policies and procedures for the coordination of programs and projects supported under this Act with library programs and projects operated by institutions of higher education or local elementary or secondary schools and with other public or private library services programs.

Such program shall be developed with advice of the State Advisory council and in consultation with the Commissioner and shall be made public as it is finally adopted.

(e) Whenever the Commissioner, after reasonable notice and opportunity for hearing to the State agency administering a program submitted under this Act, finds—

(1) that the program has been so changed that it no longer complies with the provisions of this Act, or

(2) that in the administration of the program there is a failure to comply substantially with any such provisions or with any assurance or other provision contained in the basic State plan,

then, until he is satisfied that there is no longer any such failure to comply, after appropriate notice to such State agency, he shall make no further payments to the State under this Act or shall limit payments to programs or projects under, or parts of, the programs not affected by the failure, or shall require that payments by such State agency under this Act shall be limited to local or other public library agencies not affected by the failure.

(f)(1) If any State is dissatisfied with the Commissioner's final action with respect to the approval of a plan submitted under this Act or with his final action under subsection (e) such State may, within sixty days after notice of such action, file with the United States court of appeals for the circuit in which such State is located a petition for review of that action. A copy of the petition shall be forthwith transmitted by the clerk of the court to the Commissioner. The Commissioner thereupon shall file in the court the record of the proceedings on which he based his action as provided in section 2112 of title 28, United States Code.

(2) The findings of fact by the Commissioner, if supported by substantial evidence, shall be conclusive; but the court, for good cause shown, may remand the case to the Commissioner to take further evidence, and the Commissioner may thereupon take new or modified findings of fact and may modify his previous action, and shall certify to the court the record of further proceedings.

(3) The court shall have jurisdiction to affirm the action of the Commissioner or to set it aside, in whole or in part. The judgment of the court shall be subject to review by the Supreme Court of the United States upon certiorari or certification as provided in section 1254 of title 28, United States Code.

(20 U.S.C. 351d) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1663; amended Aug. 21, 1974, P.L. 93-380, sec. 841(b), 88 Stat. 609, 610.

PAYMENTS TO STATES

SEC. 7. (a) From the allotments available therefor under section 5 from appropriations pursuant to paragraph (1), (2), (3), or (4) of section 4(a), the Commissioner shall pay to each State which has a basic State plan approved under section 6(a)(1), an annual program and a long-range program as defined in sections 3 (12) and (13) an amount equal to the Federal share of the total sums expended by the State and its political subdivisions in carrying out such plan, except that no payments shall be made from appropriations pursuant to such paragraph (1) for the purposes of title I to any State (other than the

Trust Territory of the Pacific Islands) for any fiscal year unless the Commissioner determines that—

(1) there will be available for expenditure under the programs from State and local sources during the fiscal year for which the allotment is made—

(A) sums sufficient to enable the State to receive for the purpose of carrying out the programs payments in an amount not less than the minimum allotment for that State for the purpose, and

(B) not less than the total amount actually expended, in the areas covered by the programs for such year, for the purposes of such programs from such sources in the second preceding fiscal year: and

(2) there will be available for expenditure for the purposes of the programs from State sources during the fiscal year for which the allotment is made not less than the total amount actually expended for such purposes from such sources in the second preceding fiscal year.

(b) (1) For the purpose of this section, the "Federal share" for any State shall be, except as is provided otherwise in title III and title IV, 100 per centum less the State percentage, and the State percentage shall be that percentage which bears the same ratio to 50 per centum as the per capita income of such State bears to the per capita income of all the States (excluding Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands), except that (A) the Federal share shall in no case be more than 66 per centum, or less than 33 per centum, and (B) the Federal share for Puerto Rico, Guam, American Samoa, and the Virgin Islands shall be 66 per centum, and (C) the Federal share for the Trust Territory of the Pacific Islands shall be 100 per centum.

(2) The "Federal share" for each State shall be promulgated by the Commissioner within sixty days after the beginning of the fiscal year ending June 30, 1971, and of every second fiscal year thereafter, on the basis of the average per capita incomes of each of the States and of all the States (excluding Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands), for the three most recent consecutive years for which satisfactory data are available to him from the Department of Commerce. Such promulgation shall be conclusive for each of the two fiscal years beginning after the promulgation.

(20 U.S.C. 351e) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1665.

TITLE I—LIBRARY SERVICES

GRANTS TO STATES FOR LIBRARY SERVICES

SEC. 101. The Commissioner shall carry out a program of making grants from sums appropriated pursuant to section 4(a) (1) to States which have had approved basic State plans under section 6 and have submitted annual programs under section 103 for the extension of public library services to areas without such services and the improvement of such services in areas which such services are inadequate, for making library services more accessible to persons who, by reason of distance, residence, or physical handicap, or other disadvantage, are unable to receive the benefits of public library services regularly made available to the public, for adapting public library services to meet particular needs of persons within the States, and for improving and strengthening library administrative agencies.

(20 U.S.C. 352) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1666.

USES OF FEDERAL FUNDS

SEC. 102. (a) Funds appropriated pursuant to paragraph (1) of section 4(a) shall be available for grants to States from allotments under section 5(a) for the purpose of paying the Federal share of the cost of carrying out State plans submitted and approved under section 6 and section 103. Except as is provided in subsection (b), grants to States under this title may be used solely—

(1) for planning for, and taking other steps leading to the development of, programs and projects designed to extend and improve library services, as provided in clause (2); and

(2) for (A) extending public library services to geographical areas and groups of persons without such services and improving such services in such areas and for such groups as may have inadequate public library services; and (B) establishing, expanding, and operating programs and projects to provide (i) State institutional library services, (ii) library services to the physically handicapped, and (iii) library services for the disadvantaged in urban and rural areas; and (C) strengthening metropolitan public libraries which serve as national or regional resource centers.

(b) Subject to such limitations and criteria as the Commissioner shall establish by regulation, grants to States under this title may be used (1) to pay the cost of administering the State plans submitted and approved under this Act (including obtaining the services of consultants), statewide planning for and evaluation of library services, dissemination of information concerning library services, and the activities of such advisory groups and panels as may be necessary to assist the State library administrative agency in carrying out its functions under this title, and (2) for strengthening the capacity of State library administrative agencies for meeting the needs of the people of the States.

(20 U.S.C. 353) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1667.

STATE ANNUAL PROGRAM FOR LIBRARY SERVICES

SEC. 103. Any State desiring to receive a grant from its allotment for the purposes of this title for any fiscal year shall, in addition to having submitted, and having had approved, a basic State plan under section 6, submit for that fiscal year an annual program for library services. Such program shall be submitted at such time, in such form, and contain such information as the Commissioner may require by regulation, and shall—

(1) set forth a program for the year submitted under which funds paid to the State from appropriations pursuant to paragraph (1) of section 4(a) for that year will be used, consistent

with its long-range program, solely for the purposes set forth in section 102;

(2) set forth the criteria used in allocating such funds among such purposes, which criteria shall insure that the State will expend from Federal, State, and local sources an amount not less than the amount expended by the State from such sources for State institutional library services, and library services to the physically handicapped during the fiscal year ending June 30, 1971;

(3) include such information, policies, and procedures as will assure that the activities to be carried out during that year are consistent with the long-range program; and

(4) include an extension of the long-range program, taking into consideration the results of evaluations.

(20 U.S.C. 354) Enacted Dec. 30, 1970, P.L. 91–600, sec. 2(b), 84 Stat. 1667.

TITLE II—PUBLIC LIBRARY CONSTRUCTION

GRANTS TO STATES FOR PUBLIC LIBRARY CONSTRUCTION

SEC. 201. The Commissioner shall carry out a program of making grants to States which have had approved a basic State plan under section 6 and have submitted a long-range program and submit annually appropriately updated programs under section 203 for the construction of public libraries.

(20 U.S.C. 355a) Enacted Dec. 30, 1970, P.L. 91–600, sec. 2(b), 84 Stat. 1668.

USES OF FEDERAL FUNDS

SEC. 202. Funds appropriated pursuant to paragraph (2) of section 4(a) shall be available for grants to States from allotments under section 5(a) for the purpose of paying the Federal share of the cost of construction projects carried under State plans. Such grants shall be used solely for the construction of public libraries under approved State plans.

(20 U.S.C. 355b) Enacted Dec. 30, 1970, P.L. 91–600, sec. 2(b), 84 Stat. 1668.

STATE ANNUAL PROGRAM FOR THE CONSTRUCTION OF PUBLIC LIBRARIES

SEC. 203. Any State desiring to receive a grant from its allotment for the purpose of this title for any fiscal year shall, in addition to having submitted, and having had approved, a basic State plan under section 6, submit such projects as the State may approve and are consistent with its long-range program.

Such projects shall be submitted at such time and contain such information as the Commissioner may require by regulation and shall—

(1) for the year submitted under which funds are paid to the State from appropriations pursuant to paragraph (2) of section 4(a) for that year, be used, consistent with the State's long-range program, for the construction of public libraries in areas of the State which are without the library facilities necessary to provide adequate library services;

(2) follow the criteria, policies, and procedures for the approval of applications for the construction of public library facilities under the long-range program;

(3) follow policies and procedures which will insure that every local or other public agency whose application for funds under the plan with respect to a project for construction of public library facilities is denied will be given an opportunity for a hearing before the State library administrative agency;

(4) include an extension of the long-range program taking into consideration the results of evaluations.

(20 U.S.C. 355c) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1668.

TITLE III—INTERLIBRARY COOPERATION

GRANTS TO STATES FOR INTERLIBRARY COOPERATION PROGRAMS

SEC. 301. The Commissioner shall carry out a program of making grants to States which have an approved basic State plan under section 6 and have submitted a long-range program and an annual program under section 303 for interlibrary cooperation programs.

(20 U.S.C. 355e) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1668.

USES OF FEDERAL FUNDS

SEC. 302. (a) Funds appropriated pursuant to paragraph (3) of section 4(a) shall be available for grants to States from allotments under paragraphs (1) and (3) of section 5(a) for the purpose of carrying out the Federal share of the cost of carrying out State plans submitted and approved under section 303. Such grants shall be used (1) for planning for, and taking other steps leading to the development of, cooperative library networks; and (2) establishing, expanding, and operating local, regional, and interstate cooperative networks of libraries, which provide for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers for improved supplementary services for the special clientele served by each type of library or center.

(b) For the purposes of this title, the Federal share shall be 100 per centum of the cost of carrying out the State plan.

(20 U.S.C. 355e-1) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1669.

STATE ANNUAL PROGRAM FOR INTERLIBRARY COOPERATION

SEC. 303. Any State desiring to receive a grant from its allotment for the purposes of this title for any fiscal year shall, in addition to having submitted, and having had approved, a basic State plan under section 6, submit for that fiscal year an annual program for interlibrary cooperation. Such program shall be submitted at such time, in such form, and contain such information as the Commissioner may require by regulation and shall—

(1) set forth a program for the year submitted under which funds paid to the State from appropriations pursuant to paragraph (3) of section 4(a) will be used, consistent with its long-range program for the purposes set forth in section 302,

(2) include an extension of the long-range program taking into consideration the results of evaluations.

(c)(1) The amendment made by subsection (b) shall be effective after June 30, 1971.

(2) In the case of funds appropriated to carry out programs under the Library Services and Construction Act for the fiscal year ending June 30, 1971, each State is authorized, in accordance with regulations of the Commissioner of Education, to use a portion of its allotment for the development of such plans as may be required by such Act, as amended by subsection (b).

(20 U.S.C. 355e-2) Enacted Dec. 30, 1970, P.L. 91-600, sec. 2(b), 84 Stat. 1669.

TITLE IV—OLDER READERS SERVICES

GRANTS TO STATES FOR OLDER READERS SERVICES

SEC. 401. The Commissioner shall carry out a program of making grants to States which have an approved basic State plan under section 6 and have submitted a long-range program and an annual program under section 403 for library services for older persons.

(20 U.S.C. 361) Enacted May 3, 1973, P.L. 93-29, sec. 801(a), 87 Stat. 57.

USES OF FEDERAL FUNDS

SEC. 402. (a) Funds appropriated pursuant to paragraph (4) of section 4(a) shall be available for grants to States from allotments under section 5(a) for the purpose of carrying out the Federal share of the cost of carrying out State plans submitted and approved under section 403. Such grants shall be used for (1) the training of librarians to work with the elderly; (2) the conduct of special library programs for the elderly; (3) the purchase of special library materials for use by the elderly; (4) the payment of salaries for elderly persons who wish to work in libraries as assistants on programs for the elderly; (5) the provision of in-home visits by librarians and other library personnel to the elderly; (6) the establishment of outreach programs to notify the elderly of library services available to them; and (7) the furnishing of transportation to enable the elderly to have access to library services.

(b) For the purposes of this title, the Federal share shall be 100 per centum of the cost of carrying out the State plan.

(20 U.S.C. 362) Enacted May 3, 1973, P.L. 93-29, sec. 801(a), 87 Stat. 57.

STATE ANNUAL PROGRAM FOR LIBRARY SERVICES FOR THE ELDERLY

SEC. 403. Any State desiring to receive a grant from its allotment for the purposes of this title for any fiscal year shall, in addition to having submitted, and having had approved, a basic State plan under section 6, submit for that fiscal year an annual program for library services for older persons. Such program shall be submitted at such time, in such form, and contain such information as the Commissioner may require by regulation and shall—

(1) set forth a program for the year submitted under which funds paid to the State from appropriations pursuant to para-

graph (4) of section 4(a) will be used, consistent with its long-range program for the purposes set forth in section 402, and

(2) include an extension of the long-range program taking into consideration the results of evaluations.

(20 U.S.C. 363) Enacted May 3, 1973, P.L. 93-29, sec. 801(a), 87 Stat. 58.

COORDINATION WITH PROGRAMS FOR OLDER AMERICANS

SEC. 404. In carrying out the program authorized by this title, the Commissioner shall consult with the Commissioner of the Administration on Aging and the Director of ACTION for the purpose of coordinating where practicable, the programs assisted under this title with the programs assisted under the Older Americans Act of 1965.

(20 U.S.C. 364) Enacted May 3, 1973, P.L. 93-29, sec. 801(a), 87 Stat. 58.

APPENDIX B.5

ALTERNATIVES TO THE PRESENT LEGISLATION AS PRESENTED IN THE LITERATURE

Our purpose in this section is to present the thinking of others on alternatives to the present legislation. This presentation is followed by an exhibit highlighting the various options proposed.

A first alternative to the present legislation of LSCA and Title II of HEA is Molz's identification of three areas of concern compatible with a Federal role regarding libraries. These areas are policy research in the library field; systematic, large-scale social experimentation in place of random innovation; and interlibrary and interinstitutional cooperation.[1]

A second alternative is presented in a policy-research study sponsored by USOE to develop recommendations for future support of public libraries by the Federal government.[2] The following four postures were recommended:

I. Planning for national support services;

II. Promoting increased system organization among all libraries;

III. Promoting the delivery of special education support services through interinstitutional cooperative efforts; and

IV. Improving public library services for the socioeconomically disadvantaged[3]

A Delphi panel of specialists in the library science field and in other fields provided data for the study. It was concluded that the Federal government should increase its percentage of public library support from the then five-to-seven percent to twenty percent. The study recommended Federal concentration on postures II and III, system organization and interinstitutional cooperation to achieve the greatest impact. The assumption of the study staff was that despite the Delphi panel's recommendation for increased funds, funding would likely be less rather than more.

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[1] Redmond Kathleen Molz, Federal Policy and Library Support, Cambridge, Mass; The MIT Press, 1976, p. 112.

[2] Wellisch, Jean B., Ruth J. Patrick, Donald V. Black and Carlos Cuadra, The Public Library and Federal Policy, Westport, Connecticut, Greenwood Press, 1974.

[3] Ibid., p. 232-233

The study also recommended changes to the present legislation that would be needed to implement the postures. For posture II, system organization among all types of libraries, it was recommended that LSCA III contain prescriptive guidance with regard to the size, composition, structure, and functions of the system to be developed. Discretionary funds set aside from LSCA I and administered by the Office of Education would provide the necessary funding and management to develop the planning aids needed for prescriptive guidance. Posture III, interinstitutional cooperation would be funded in a similar fashion. The discretionary funds in this case would be used to develop demonstration models.

Changes were recommended in the current legislation for the reason that it may be easier to amend legislation than to draft new legislation for the present. These changes allow for the necessary redirection until a study could be made of the potential benefits of coordinating all Federal legislation that has an impact on these two postures. Relevant to the composition of any new legislation is the Delphi panelists' definite preference for earmarked and restricted funding, to be controlled through the Federal government or through the States. The reason would be that the independent priorities of local discretion would not allow the coordination that is needed to make the public library a more effective institution.

The purposes of these two postures are compatible with the objectives of LSCA III and HEA II-B. The difference is in the methods for achieving those objectives.

A third alternative is proposed by the National Commission on Libraries and Information Science (NCLIS), a permanent and independent agency within the Executive Branch. The Commission is charged with primary responsibility for developing and recommending overall plans for library and information services adequate to meet the needs of the people of the United States. The Commission believes that although categorical aid available to libraries under an array of authorizations has resulted in improved library services in all types of libraries, many of the worthy goals are yet to be achieved. The Commission proposes that new legislation be drafted to support a national program for library and information services. Examples of criteria for requesting financial assistance are:

- Request support only for programs that are consistant with National Program's aims and objectives.
- Be willing to subscribe to, and to utilize, national bibliographic, technical, and other standards.
- Provide assurance that successful programs, basic to a library's mission, and begun with Federal funds, will be sustained by the recipient for at least several years.
- Stipulate that Federal funds would not be used to offset or dilute financial responsibility locally, regionally, or at the State level to meet prescribed levels of service.
- Match Federal funds with local or State funds according to a formula based on factors other than merely population or per capita income.
- Develop a mutually-compatible formula for matching funds between the state and local governments similar to that between the State and Federal government.
- Adhere to the protocols and conventions of use established for the nationwide network.1/

1/ National Commission on Libraries and Information Science, Toward National Program for Library and Information Science: Goals for Action, Washington, D.C. 1975, p. 73-74.

Criteria such as these would be developed by study and discussion by all parties concerned and incorporated into new legislation. Until then, the Commission favors the continuation, strengthening and expansion of categorical aid under existing titles. It would place special emphasis on LSCA III to maintain national momentum toward cooperative projects and networking.

One of the program objectives of the recommended National Program is to establish a locus of Federal responsibility charged with implementing the national network and coordinating the National Program under the policy guidance of the National Commission. The Office of Libraries and Learning Resources, U.S. Office of Education is one of the three existing national agencies that have been mentioned as possibilities. The other two are the Library of Congress and the Commission itself

A fourth alternative is presented in a study sponsored by the National Commission on Libraries and Information Science to evaluate the effectiveness of Federal funding of public libraries as a basis for recommendations to improve the fiscal support system.[1] The major recommendations for new legislation are:

- Revise and strengthen LSCA
- Create a balanced intergovernmental funding system for the development of adequate public library and information services
- Increase Federal funding based on costs derived from the NCLIS national inventory of library needs
- Federal, State and local governments work in accordance with a national plan and specifically targeted State plans
- Provide guidelines and assistance for States in developing and implementing State plans for which Federal funds are used
- Stimulate higher levels of State funding for existing and expanded services

---

[1] Government Studies and Systems, Evaluation of the Effectiveness of Federal Funding of Public Libraries, G.P.O., Washington, D.C., 1976

- Provide for advance funding of programs and projects in accordance with approved State plans
- Require State matching with specified use of State revenue sources and exclusion of local funds for matching purposes
- Limit the amount of Federal funds which could be used for State administration purpose
- Criteria for allocations to a State would reflect relative need for extension and development of library services, and fiscal capacity to support such services.[1]

Two basic sub-objectives of the new legislation would be:

> ...(1) the extension and up-grading of public library services in accordance with defined criteria of relative need for services and relative fiscal ability to support such services among states and among areas within states; and (2) the development and/or expansion of cooperative systems and network linkages not only among public libraries, but also between public libraries and all other types of libraries and information services.[2]

The point is made that provision of adequate administration and monitoring of Federal fund utilization would require a strengthened and perhaps elevated locus of authority for Federal fund administration and oversight. The second objective above reflects the intertype cooperation aspect of LSCA III.

Exhibit B.I summarizes options for future directions that have been identified by these four previous studies along the following dimensions:

- Areas of focus
- Federal funding level
- Funding formula
- Administration
- Implementation approaches

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[1] Ibid., adapted from pp. 115-118

[2] Ibid.,

These options were the starting point for our analysis of future Federal directions in the following two sections and for the subsequent recommendations presented in Chapter 12.

EXHIBIT B.1: DOCUMENTED ALTERNATIVE OPTIONS TO PRESENT LEGISLATION

AREAS OF FOCUS

- Policy research in the library field 1/*
- Interlibrary cooperation 2/
- Interinstitutional cooperation for delivery of special education support 2/
- Programs consistent with National Program aims and objectives 3/
- Extension and up-grading of public library services 4/
- Improvement of library services to specific target groups such as handicapped, institutionalized, economically disadvantaged 5/

FEDERAL FUNDING LEVEL

- Increase from 6 percent to 20 percent 2/
- Realize it is likely to be less than more 2/
- Increase Federal funding based on costs derived from the NCLIS national inventory of library needs 4/
- Increase Federal funding from 6 percent to 20 percent through the Federal government or through the States 2/

FUNDING FORMULA

- Match Federal funds with local or State funds according to a formula based on factors other than merely population or per capita income 3/
- Develop a mutually compatible formula for matching funds between the State and local governments similar to that between the State and Federal government 3/
- Create a balanced funding system for Federal, State and local governments that achieves the following. It would:
    - stimulate higher levels of State funding for existing and expanded services
    - provide for advance funding of programs and projects in accordance with approved State plans
    - require State matching with specified use of State revenue sources and exclusion of local funds for matching purposes
    - limit the amount of Federal funds which could be used for State administration purpose
    - reflect relative need for extension and development of library services and fiscal capacity to support such services. 4/

*Footnotes are on next page.

EXHIBIT B.1: (continued)

- Set aside discretionary funds from LSCA I to be administered by OE to provide the necessary funding and management to develop the planning aids needed for prescriptive guidance.2/
- Set aside discretionary funds from LSCA I to be administered by OE to develop demonstration models in interinstitutional cooperation.2/

ADMINISTRATION

- Provide a strengthened and perhaps elevated locus of authority for Federal fund administration and oversight.4/

IMPLEMENTATION APPROACHES

- Require that Federal, State and local governments work in accordance with a national plan and specifically targeted State plans.4/
- Focus on systematic, large-scale social experimentation in place of random innovation.1/
- Develop prescriptive guidance for LSCA III with regard to the size, composition, structure and functions of interlibrary systems.2/
- Provide guidelines and assistance for States in developing and implementing State plans for which Federal funds are used.2/

1/ Redmond Kathleen Molz, Federal Policy and Library Support, MIT Press, Cambridge, 1976.

2/ Jean B. Wellisch and others, The Public Library and Federal Policy, Greenwood Press, Westport, Connecticut, 1974.

3/ The National Commission on Libraries and Information Science, Toward a National Program for Library and Information Services: Goals for Action, G.P.O., Washington, D.C. 1975, p. 74.

4/ Government Studies and Systems, Evaluation of the Effectiveness of Federal Funding of Public Libraries, A Study Prepared for the National Commission on Libraries and Information Science, Philadelphia, Pa., 1976.

5/ Library Partnership Act.

APPENDIX C

INSTRUMENTS

C.1 - INSTRUMENTS FOR HEA II-B LIBRARY RESEARCH
AND DEMONSTRATION PROGRAM
SURVEYS AND CASE STUDY INTERVIEWS

C.2 - INSTRUMENTS FOR LSCA III SURVEY INTERVIEWS

C.3 - INSTRUMENTS FOR LSCA III CASE STUDY INTERVIEWS

NOTE: Instruments used in the survey component of the study contain raw frequencies of response to various questions. These frequencies are shown in a bold type-face.

APPENDIX C.1

INSTRUMENTS FOR HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROGRAM SURVEYS AND CASE STUDY INTERVIEWS

H	2				

OMB NO. 51-S77019
EXPIRES: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS AND DEMONSTRATION PROJECTS

TELEPHONE INTERVIEW GUIDE: CHIEF STATE LIBRARY OFFICERS and RESEARCH AND DEMONSTRATION PEERS

Project Name: ______________________________

Time Call Placed: ___:___ A.M. P.M.

WATS 1
Direct . . . 2

Number Called: ____________

Respondent's Name: ______________________________

Respondent's Title: ______________________________

Time Call Ended: ___:___ A.M. P.M.

Date of Interview: ___/___/___

Interviewer: ______________________________

INTRODUCTORY STATEMENT TO ACCOMPANY TELEPHONE INTERVIEW

GOOD (MORNING, AFTERNOON), MY NAME IS ____________________, AND I REPRESENT APPLIED MANAGEMENT SCIENCES OF SILVER SPRING, MARYLAND. WE ARE UNDER CONTRACT TO THE U.S. OFFICE OF EDUCATION TO CONDUCT A STUDY OF LIBRARY COOPERATIVES, NETWORKS AND DEMONSTRATION PROJECTS. THIS STUDY IS CONCERNED WITH TWO PROGRAMS. ONE IS FUNDED UNDER THE AUTHORITY OF TITLE III, LIBRARY SERVICES AND CONSTRUCTION ACT (LSCA). THE OTHER PROGRAM IS FUNDED UNDER THE AUTHORITY OF THE RESEARCH AND DEMONSTRATION COMPONENT OF TITLE II-B, HIGHER EDUCATION ACT (HEA).

I WOULD LIKE TO SPEND THE NEXT 30 MINUTES OR SO DISCUSSING THE (TITLE OF PROJECT). THIS PROJECT IS RECEIVING FUNDS THROUGH THE RESEARCH AND DEMONSTRATION COMPONENT OF HEA II-B. [IS THIS TIME CONVENIENT? IF IT IS NOT, WHEN WOULD IT BE CONVENIENT TO DISCUSS THIS PROJECT? ARRANGE APPOINTMENT]

PROJECT TITLE: ____

Interviewer: Read the following statement to the respondent before asking any questions contained in this instrument.

> THIS STUDY IS AUTHORIZED BY LAW (20 USC 1226). WHILE YOU ARE NOT REQUIRED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THIS SURVEY COMPREHENSIVE, ACCURATE, AND TIMELY.
>
> BEFORE WE BEGIN, IF AT ANY TIME YOU DO NOT FULLY UNDERSTAND A PARTICULAR TERM, I WILL PROVIDE A DEFINITION USING THE GLOSSARY DEVELOPED FOR THIS STUDY.

1. Are you aware of this HEA II-B project which is being conducted by *(name of project director)*?

YES *(go to question 2)* . . . . 1 — 39

NO . . . . 2 *(Interviewer: Terminate interview)* — 2

2. How unique is this project?

This is the only library R&D project conducting research in this topic . . . . 1 — 16

Only a few projects have been conducted in this area . . . . 2 — 21

A considerable number of other projects are being conducted (or have been conducted) in this area . . . . 3 — 2

NR=3

INTERVIEWER: ASK QUESTION 3a THROUGH 5 OF HEADS OF STATE LIBRARY AGENCIES ONLY AND ONLY IF THE PROJECT HAS AN EXTENDED TIME FRAME

3a. How likely is it that the State library agency would be willing to provide financial support to this project if Federal funding were to be stopped?

Very likely *(go to question 3b)* 1

Somewhat likely *(go to question 3b)* . . . 2

Somewhat unlikely *(go to question 3c)* . . 3

Very Unlikely *(go to question 3c)* 4

N/A

3b. What percentage of the project's annual budget would your State assume? The annual budget of the project is $________________

________ %

N/A

3c. Why won't the State library agency provide financial support for this project?

REASON	YES	NO
There are better uses for the money	1	2
Funds for this are not included in the State's five year plan	1	2
Project has no direct relationship to assessed needs in this State	1	2
Not enough funds	1	2
No authority to allocate funds for this purpose	1	2
The project does not warrant support by this State . .	1	2
Other *(record)* __________________________	1	2

N/A

4a. Is your State involved in this project in any way?

YES (*go to question 4b*) . . . 1
NO (*go to question 5a*) . . . 2

N/A

4b. Please explain how your State is involved in the project.

Receive services from project 1
or
Provide services to project 2
Both 3
Receive technical assistance from project 1
or
Provide technical assistance to the project . . . 2
Both 3
Other (*record*) 1

N/A

4c. Would you like to increase your State's involvement in this project?

YES 1
NO 2

N/A

Please explain:

5. How important is this project to the development of library services in your State?

Very important 1
Somewhat important 2
Not sure 3
Somewhat unimportant 4
Very unimportant 5

N/A

Please explain your reasons for this:

6a. Have you ever applied for a grant under the Research and Demonstration Component of the HEA II-B Program?

YES *(go to question 6b)* . . .	1	20
NO *(go to question 6c)* . . .	2	18
NR=		3

6b. Was your application funded?

YES *(go to question 6d)* . . .	1	5
NO *(go to question 6d)* . . .	2	15

6c. What are your reasons for not applying for a grant under the Research and Demonstration Component of the HEA II-B program?

	YES	NO
The funding level of this program does not justify the cost of preparing proposals	1 8	2 10
State is not interested in research	1 1	2 17
We do not have the staff to conduct research	1 5	2 13
We don't like the Federal program	1 0	2 18
Other *(record)* ______________________________ .	1 9	2 9

____

6d. Do you intend to submit grant applications to the U.S. Office of Education for HEA II-B Research and Demonstration projects within the next two years?

YES	1	13
NO *(obtain explanation and go to question 6f)* . .	2	25
	NR=3	

Please explain: ______________________________

____

____

____

6e. In which of the following areas are you most likely to submit this application? How definite is your intent to submit a proposal in each area? *(Read list)*

OBJECTIVES	Definitely Yes	Probably Yes	Probably No	Definitely No
Conducting needs assessments to determine needs for new service patterns	1 2	2 5	3 4	4 2
Development of innovative service patterns using existing resources	1 0	2 4	3 7	4 2
Conducting needs assessments to determine the needs of special target populations	1 6	2 1	3 6	4 0
Developing service patterns responsive to the needs of special target populations	1 6	2 3	3 4	4 0
Developing more efficient uses of resources to fulfill user needs	1 1	2 4	3 4	4 4
Developing new technologies or new applications of existing ones	1 1	2 3	3 5	4 4
Conducting needs assessments to determine training needs	1 5	2 3	3 2	4 3
Designing training programs	1 6	2 3	3 2	4 3

6f. If the HEA II-B program were to replace its current method of funding by grants with more detailed request for proposals, would you participate in the program?

Definitely yes	1	11
Probably yes	2	6
Probably no	3	5
Definitely no	4	3
Makes no difference . . .	5	14

NR= 1

7a. Are you aware of the method currently used by the U.S. Office of Education to select grant applications for funding under the Research and Demonstration Component of the HEA II-B program?

YES *(go to question 7b)* . . .	1	23
NO *(go to question 8a)* . . .	2	18

7b. What, in your opinion, are the strengths and weaknesses of this method? *(Record)*

Strengths: SEE CHAPTER 7

Weaknesses:

7c. Should this method be modified in any way?

YES (*go to question 7d*) . . . 1 20

NO (*go to question 8a*) . . . 2 3

7d. Please describe how it should be modified.

SEE CHAPTER 7

8a. Are you aware of the method used by the U.S. Office of Education to select the Application Review Panel for the HEA II-B Research and Demonstration program?

YES (*go to question 8b*) . . . 1 8

NO (*go to question 9a*) . . . 2 32

NR=1

8b. Does this panel adequately represent the various components of the library and information science community?

YES 1 5

NO 2 3

8c. Should the method used to select the Application Review Panel be changed?

YES (*go to question 8d*) . . . 1 5

NO (*go to question 9*) 2 3

8d. Please describe how that method should be changed:

SEE CHAPTER 7

9a. In your opinion, is enough time provided to potential applicants to prepare a research proposal?

YES (*go to question 10*) . . . 1 9

NO (*go to question 9b*) . . . 2 15

NR=3

9b. How much time should be provided for potential applicants to respond to the grant cycle?

N/A Months

10a. At one time, an Advisory Committee was assisting and guiding the HEA II-B program in defining objectives, selecting proposals and overall program management. In your opinion, should an Advisory Committee be reinstated?

YES *(obtain explanation, go to question 10b)* . . .	1	31
NO *(obtain explanation, go to question 11a)* . . .	2	24

N=6

Please explain: ____________________

SEE CHAPTER 7

10b. What types of individuals should be represented on this Advisory Committee?

	Yes		No	
Library Administrators	1	26	2	15
Researchers	1	27	2	14
Chief Officers of State Library Agency	1	27	2	14
NCLIS representatives	1	18	2	23
Representatives of private self interest groups (i.e., CLR)	1	22	2	19
Representatives from library schools	1	27	2	14
Public Librarians	1	23	2	18
Academic Librarians	1		2	
Special Librarians	1		2	
School Librarians	1		2	
Automation experts	1	24	2	17
Other *(record)*	1	15	2	26

____

11a. Should State Library Agencies be involved in any aspect of the Research and Demonstration Component of the HEA II-B program?

YES *(go to question 11b)*	1	27
NO *(obtain explanation, go to question 12)* . . .	2	13

NR=1

Please explain: ____________________

11b. Should the State Library Agencies: *(Read list)*

	Yes	No
Be responsible for collecting and forwarding HEA II-B grant applications to the U.S. Office of Education	1 8	2 19
Receive an information copy of HEA II-B grant applications submitted by organizations in that State	1 26	2 1
Participate in the review and selection of grant applications to be funded nationally	1 5	2 22
Participate in the review and selection of grant applications to be funded in that State	1 6	2 21
Be required to participate on advisory boards for individual HEA II-B projects	1 5	2 19
Be represented on the HEA II-B program Advisory Board if that Board were to be reinstated	1 24	2 3
Other *(record)*	1 16	2 11

12. I am going to read a series of statements presenting possible effects of Federal control of the selection and funding of HEA II-B Research and Demonstration projects. For each statement, please indicate the degree to which you agree or disagree with the statement on a scale of 1 to 5, where 1 is agree strongly and 5 is disagree strongly.

	STRENGTH OF AGREEMENT					
	Agree Strongly				Disagree Strongly	
Research and demonstration projects have become responsive to critical needs	1 3	2 10	3 19	4 6	5 1	NR=3
Projects that could not have been funded by State or local government agencies have been funded	1 21	2 13	3 4	4 0	5 0	NR=4
Research and demonstration projects focusing on national needs are funded instead of projects responding to local needs	1 4	2 10	3 11	4 7	5 5	NR=5
Duplication of research and demonstration is avoided	1 3	2 13	3 9	4 8	5 7	NR=1
The results of research and demonstration projects are widely disseminated	1 2	2 7	3 7	4 22	5 2	NR=1
Other *(record)*	1	2 3	3	4	5	NR=38

13. Now I am going to read each of the objectives of the Research and Demonstration Component of the HEA II-B Program at the Federal level. On a scale of 1 to 5 where 1 is highly successful and 5 is highly unsuccessful, please rate the success with which each objective has been met since redirection in 1971.

OBJECTIVE	Highly Successful	DEGREE OF SUCCESS			Highly Unsuccessful	DK
Conducting needs assessments to determine needs for new service patterns	1 2	2 5	3 9	4 7	5 3	14
Development of innovative service patterns using existing resources	1 0	2 13	3 13	4 6	5 1	7
Conducting needs assessments to determine the needs of special target populations . .	1 4	2 17	3 6	4 6	5 1	7
Developing service patterns responsive to the needs of special target populations . .	1 3	2 13	3 12	4 4	5 0	8
Developing more efficient uses of resources to fulfill user needs	1 0	2 12	3 9	4 6	5 3	10
Developing new technologies or new applications of existing ones	1 2	2 8	3 12	4 7	5 3	9
Conducting needs assessments to determine training needs	1 1	2 7	3 11	4 8	5 4	10
Designing training programs	1 3	2 7	3 7	4 7	5 3	13

14a. Should the current funding level of the Research and Demonstration Component of the HEA II-B Program be increased, decreased, or remain unchanged? For the past 5 years it has been one million dollars a year.

Increased to $ |_|_|_|_|_|_|_|_|_|_| . . 1

Decreased to $ |_|_|_|_|_|_|_| 2   SEE CHAPTER 7

Remain the same 3

14b. Given the current level of funding, should this program fund:

	A few large grants	1	5
or	Several smaller grants	2	4
	Both	3	30

NR=2

14c. Given the current level of funding, should this program fund Research and Demonstration projects directed towards:

	Serving the traditional library user . . .	1	0
or	Outreach types of activities	2	14
	Both	3	26

NR=1

14d. Given the current level of funding, should preference be given to:

Research projects 1 9

or

Demonstration projects 2 8

Both 3 21

NR=3

14e. If both, what proportions should be distributed to each area?

Research ______% 14

Demonstration ______% 13

100%

14f. Given the current level of funding, should Research and Demonstration projects receive multi-year funding?

YES 1 35

NO 2 4

Please explain why: ______NR=2______

14g. How can the program be improved at the Federal level?

SEE CHAPTER 7

15. DO YOU HAVE ANY OTHER COMMENTS ABOUT THE ISSUES RAISED IN THIS INTERVIEW OR THE STUDY ITSELF? (RECORD)

N/A

Thank you.

INTERVIEWER: ASK THE FOLLOWING OF CHIEF STATE LIBRARY OFFICERS ONLY

As part of this study we intend to survey a select sample of individuals involved in library research and demonstration. The purpose of including these persons stems from the need to obtain highly informed observers. We would like your assistance in identifying people known to you as well as the institution they are affiliated with. The names you provide will not become part of any system of records. Any lists we develop will be destroyed upon completion of the survey.

(name)	(institutional affiliation)
(name)	(institutional affiliation)
(name)	(institutional affiliation)

Thank you.

		0	0					0	2	3

1 - 4 5 - 8 9 - 10

OMB NO. 51-S77019
EXPIRES: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS AND DEMONSTRATION PROJECTS

TELEPHONE INTERVIEW GUIDE: PROJECTS FUNDED THROUGH THE RESEARCH AND DEMONSTRATION COMPONENT OF THE HEA II-B PROGRAM

Project Name: ______________________________

Time Call Placed: ____:______ A.M. P.M.

WATS 1
Direct 2

Number Called ____________________.

Respondent's Name: ______________________________

Respondent's Title: ______________________________

Date of Call: ____________________

Time Call Ended: ____:_____ A.M. P.M.

Interviewer: ______________________________

GOOD (MORNING, AFTERNOON): MY NAME IS ______________________; I REPRESENT APPLIED MANAGEMENT SCIENCES OF SILVER SPRING, MARYLAND. WE ARE UNDER CONTRACT TO THE U.S. OFFICE OF EDUCATION TO CONDUCT A STUDY OF LIBRARY COOPERATIVES, NETWORKS AND DEMONSTRATION PROJECTS. THIS STUDY IS CONCERNED WITH TWO PROGRAMS. ONE IS FUNDED UNDER THE AUTHORITY OF TITLE III, LIBRARY SERVICES AND CONSTRUCTION ACT (LSCA). THE OTHER PROGRAM IS FUNDED UNDER THE AUTHORITY OF THE RESEARCH AND DEMONSTRATION COMPONENT OF TITLE II-B, HIGHER EDUCATION ACT (HEA).

I WOULD LIKE TO SPEND THE NEXT 45 MINUTES DISCUSSING THE (TITLE OF PROJECT) YOU HAVE (ARE) CONDUCTED(ING) AND WHICH IS/WAS RECEIVING HEA II-B RESEARCH AND DEMONSTRATION FUNDS. [IS THIS TIME CONVENIENT? IF IT IS NOT, WHEN WOULD IT BE CONVENIENT TO DISCUSS YOUR PROJECT? ARRANGE APPOINTMENT]

Interviewer: Read the following statement to the respondent before asking any questions contained in this instrument.

> THIS STUDY IS AUTHORIZED BY LAW (20 USC 1226). WHILE YOU ARE NOT REQUIRED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THIS SURVEY COMPREHENSIVE, ACCURATE, AND TIMELY.
>
> BEFORE WE BEGIN, IF AT ANY TIME YOU DO NOT FULLY UNDERSTAND A PARTICULAR TERM, I WILL PROVIDE A DEFINITION USING THE GLOSSARY DEVELOPED FOR THIS STUDY.

Interviewer: A number of questions in this instrument are marked with asterisks. Please disregard them while conducting the telephone interview.

PART I: PARTICIPATION IN THE HEA II-B PROGRAM

1.* Why did you undertake this Research and Demonstration project?

See Chapter 6

2. Is/was this the first time you have submitted an application for a grant from the Research and Demonstration Component of the HEA II-B program?

YES *(go to question 4)* 1 46

NO *(go to question 3)* 2 24

NR= 1

3. How many proposals have you submitted to the Research and Demonstration Component of the HEA II-B Program?

N/A

4. For each proposal you submitted:
(Read list. Fill one vertical column at a time)

HEA II-B PROPOSALS

CHARACTERISTIC	Proposal 1	Proposal 2	Proposal 3	Proposal 4
What year was the proposal submitted?	19 N/A	19 N/A	19 N/A	19 N/A
What was the total funding requested?	$ N/A	$ N/A	$ N/A	$ N/A
Was proposal funded with HEA II-B funds?				
YES *(go to question 5)* . . .	1 57	1 33	1 19	1 8
NO *(continue)*	2 9	2 8	2 3	2 3
If no, were you given reasons for non-funding?				
YES	1 3	1 3	1 0	1 1
NO	2 3	2 4	2 3	2 2
Was the proposal modified and resubmitted for HEA II-B funds?				
YES *(go to second column)* .	1 2	1 8	1 0	1 0
NO *(continue)*	2 4	2 1	2 4	2 2
If no, was the proposal submitted to another funding source?				
YES	1 0	1 1	1 0	1 1
NO *(go to question 5)*	2 5	2 8	2 4	2 2
If yes, what was that source? *(record)*				
Did this source fund the proposal?				
YES	1 0	1 0	1 0	1 0
NO	2 0	2 0	2 0	2 0

5. Do you intend to submit grant applications to the U.S. Office of Education for HEA II-B Research and Demonstration projects within the next two years?

YES 1 32

NO *(obtain explanation and go to question 6b)* . . 2 34

NR = 5

Please explain: ______________________________

See Chapters 5, 7

6a. In which of the following areas are you most likely to submit this application? How definite is your intent to submit a proposal in each area? *(Read List)*

OBJECTIVES	Definitely Yes	Probably Yes	Probably No	Definitely No
Conducting needs assessments to determine needs for new service patterns	1 7	2 16	3 6	4 3
Development of innovative service patterns using existing resources	1 10	2 12	3 7	4 3
Conducting needs assessments to determine the needs of special target populations	1 7	2 9	3 12	4 3
Developing service patterns responsive to the needs of special target populations	1 7	2 11	3 13	4 3
Developing more efficient uses of resources to fulfill user needs	1 8	2 13	3 7	4 3
Developing new technologies or new applications of existing ones	1 9	2 13	3 5	4 5
Conducting needs assessments to determine training needs	1 6	2 14	3 5	4 7
Designing training programs	1 8	2 11	3 5	4 7

6b. If the HEA II-B program were to replace its current method of funding by grants with more detailed request for proposals, would you participate in the program?

Definitely yes 1 21

Probably yes 2 23

Probably no 3 5

Definitely no 4 3

Makes no difference . . . 5 16

NR= 3

PART 2: PROJECT OBJECTIVES

7a. I am going to read your project objective(s) as it/they was/were presented in your grant application. Was this/these objective(s) changed during the course of the project?

OBJECTIVE	CHANGED *(go to question 7b)*	NOT CHANGED *(go to question 7c)*
(1) N/A	1	2
(2)	1	2
(3)	1	2
(4)	1	2
(5)	1	2
(6)	1	2

7b. Why was the objective changed?

(1) See Chapters 5, 6

(2)

(3)

(4)

(5)

(6)

7c. Did you request Office of Libraries and Learning Resources' approval to modify nee objective(s) of this project?

YES *(go to question 7e)* . . . 1 17

NO . . . . e) 2 51

NR = 3

7d. Are/were you aware of the procedures for requesting a modification to the objectives of your project?

YES *(go to question 7g)* . . . 1 36

NO *(go to question 8)* 2 32

NR = 3

7e. Was the request approved?

YES (*go to question 8*) . . 1 16

NO 2 52

NR= 3

7f. What reasons were given for not granting permission to modify project objectives? (*Obtain explanation, then go to question 8*)

N/A

7g. Once the need was identified, what were your reasons for not requesting permission from the U.S. Office of Education to modify project objectives?

N/A

8. Who was involved in defining the objectives for the project?

	YES	NO	
Subject Specialists	1 44	2 26	NR = 1
Library Educators	1 47	2 22	NR = 2
Researchers	1 48	2 20	NR = 3
Advisory Boards	1 39	2 30	NR = 2
Outside Consultants	1 37	2 32	NR = 2
Federal Government	1 42	2 27	NR = 2
State Government	1 25	2 45	NR = 1
Local Government	1 23	2 46	NR = 2
Sponsoring Organization	1 44	2 26	NR = 1
Intended beneficiaries	1 38	2 31	NR = 2
Other (*record*)	1 16	2 55	

9a. How well is/did your project meeting/meet its objective(s)?

Better than expected 1 26

As well as expected 2 29

Not as well as expected 3 14

NR = 4

9b.* Please explain: N/A

PART 3: PROJECT EVALUATION

10. How is/was your project evaluated? In what month and year was that method last used? For each of the evaluation methods used, please rate it usefulness on a scale of 1 to 5, where 1 is very useful and 5 is very useless. Useful as used here refers to the utility and impact of the evaluation on the objectives and conduct of the project.

METHOD	USED Yes	USED No	When Last Used	USEFULNESS Very Useful				Very Useless
Surveys of intended beneficiaries	1 34	2 34	(month/year)	1 18	2 10	3 8	4 0	5 0
Informal feedback from intended beneficiaries	1 51	2 17		1 23	2 16	3 9	4 3	5 0
Reviews by project staff	1 57	2 11	(month/year)	1 35	2 15	3 4	4 3	5 0
Reviews by sponsoring agency	1 37	2 31	(month/year)	1 14	2 12	3 9	4 2	5 0
Informal reviews by sponsoring agency . .	1 36	2 32		1 14	2 12	3 5	4 5	5 1
Formal reviews by U.S. Office of Education	1 33	2 33	(month/year)	1 10	2 14	3 8	4 2	5 1
Informal reviews by U.S. Office of Education	1 43	2 23		1 16	2 9	3 14	4 3	5 2
Formal review by Regional Program Officer	1 11	2 56	(month/year)	1 5	2 4	3 3	4 0	5 0
Informal reviews by Regional Program Officer	1 18	2 49		1 4	2 5	3 7	4 0	5 1
Use of outside evaluators	1 36	2 32	(month/year)	1 26	2 8	3 4	4 0	5 0
Other (record) . . .	1 17	2 52	(month/year)	1 6	2 5	3 5	4 0	5 0

11.* What changes were made as a result of this evaluation(s)?

CHANGES	YES	NO	EXPLAIN
Scope	1 29	2 40	
Objectives or subobjectives	1 14	2 55	
Methodology	1 21	2 48	
Utilization of resources	1 22	2 46	
Staff	1 18	2 51	
Schedules	1 29	2 40	
Other *(record)*	1 4	2 65	

12.* On a scale of 1 to 5, where 1 is a very major problem and 5 is not a problem, please indicate the degree to which each of the following has been a problem in the operation of this project. *(Read List)*

PROBLEM	SERIOUSNESS OF PROBLEM A Very Major Problem				Not A Problem
Not enough funding	1 12	2 4	3 9	4 10	5 27
Inappropriate staff	1 4	2 10	3 9	4 13	5 32
Not enough materials	1 5	2 12	3 6	4 43	5 2
Not enough facilities	1 7	2 4	3 8	4 14	5 34
Inappropriate facilities	1 6	2 4	3 10	4 10	5 35
Lack of cooperation from intended beneficiaries	1 5	2 4	3 7	4 9	5 43
Lack of cooperation from local government	1 3	2 3	3 9	4 7	5 40
Lack of cooperation from local libraries	1 6	2 5	3 2	4 40	5 44
Lack of cooperation from State government	1 2	2 1	3 2	4 8	5 43
Lack of cooperation from State library agency	1 2	2 5	3 2	4 3	5 47
Difficulty in assessing needs	1 0	2 7	3 12	4 14	5 31
Difficulty in evaluating progress	1 3	2 6	3 16	4 17	5 24
Difficulty in reaching users	1 2	2 13	3 15	4 9	5 27
Procedural requirements of sponsoring agency hinder operation of project	1 7	2 9	3 4	4 16	5 32
Other *(record)*	1 6	2 1	3 0	4 1	5 1

Office
Only

PART 4: PROJECT MONITORING

13. How often do you engage in each of the following types of monitoring activities with the Federal officials? On a scale of 1 to 5, where 1 is very useful and 5 is very useless, rate the usefulness of each of these forms of interactions in terms of their impact on the successful progress of your project.

		USEFULNESS				
MONITORING METHOD	RATE OF USE	Very Useful				Very Useless
Written Reports . .	Once every _____ month(s)	1 11	2 17	3 20	4 8	5 4
Oral Reports . . .	Once every _____ month(s)	1 18	2 15	3 13	4 2	5 1
Site Visits . . .	Once every _____ month(s)	1 20	2 14	3 6	4 6	5 2
Other (*record*) . .	Once every _____ month(s)	1 6	2 1	3 3	4 1	5 0

____

14a. Who is your point of contact at the Federal level?

Regional Program Officer 1 13
Headquarters in Washington, D.C. . 2 58
Other (*record*) 3 3

____

14b. Which of the following subjects are discussed with Federal officials? Do these discussions result in any changes in the project?

	DISCUSSED		CHANGE	
SUBJECTS	Yes	No	Yes	No
Adherence to Federal rules and regulations	1 53	2 15	1 20	2 46
Coordination with other projects	1 42	2 24	1 23	2 43
Technical/methodological issues	1 49	2 20	1 21	2 36
Problems encountered	1 60	2 9	1 39	2 29
Problems anticipated	1 47	2 20	1 34	2 33
Use of existing resources	1 44	2 22	1 20	2 45
Identification of new resources	1 29	2 37	1 21	2 48
Uses of new resources	1 25	2 41	1 15	2 50
Cutbacks/extensions of specific activities	1 18	2 47	1 41	2 25
Financial decisions	1 48	2 17	1 39	2 26
Other (*record*)	1 5	2 63	1 3	2 65

____

PART 5: TECHNICAL ASSISTANCE

15a. How often have Federal officials provided the following types of assistance? On a scale of 1 to 5 where 1 is very useful and 5 is very useless, please rate the usefulness of each type of assistance you receive. *(Read list)*

METHOD	RATE OF USE	USEFULNESS OF ASSISTANCE				
		Very Useful				Very Useless
Review and feedback on written reports	Once every ________ month(s)	1 13	2 14	3 17	4 6	5 6
Site visits to projects .	Once every ________ month(s)	1 19	2 17	3 13	4 4	5 2
Citations from literature passed on to projects . .	Once every ________ month(s)	1 6	2 12	3 8	4 5	5 1
Brainstorming sessions .	Once every ________ month(s)	1 18	2 11	3 10	4 1	5 2
Referral to other projects	Once every ________ month(s)	1 11	2 15	3 10	4 2	5 1
Other *(record)*	Once every ________ month(s)	1 1	2 0	3 0	4 0	5 0

____

____

15b. How is most of this assistance provided?

Via telephone	1	38
At meetings/site visits .	2	18
By mail	3	1
Other *(record)*	4	5
		NR=10

____

15c. How often is the assistance provided to you directly related to your needs?

Always	1	29
Usually	2	28
Occasionally	3	9
Never	4	0
		NR= 5

15d. When you specifically request assistance, do you ever have difficulty in obtaining it?

Always	1 3
Usually	2 8
Occasionally	3 16
Never	4 36
	NR = 8

15e. When you request assistance from the project how long does it take them to respond generally?

Immediately 1 35

____________________ weeks

16a. On a scale of 1 to 5, where 1 is very good and 5 is very poor, please rate the quality of assistance provided by each of the following. *(Read List)*

	QUALITY OF ASSISTANCE				
PROVIDER	Very Good				Very Poor
Federal level HEA II-B program manager . . .	1 34	2 11	3 15	4 0	5 15
Regional program officers	1 9	2 8	3 10	4 1	5 5
Sponsoring agency	1 24	2 14	3 7	4 8	5 6
Outside consultants	1 23	2 14	3 5	4 2	5 1

16b. Has this assistance resulted in any changes in the project?

YES *(go to question 16c)* . . .	1 40
NO *(go to question 17a)* . . .	2 28
	NR = 3

16c. What types of changes have been made?

CHANGES	Yes	No	
Scope	1 20	2 47	NR = 4
Objectives or subobjectives	1 19	2 48	NR = 4
Methodology	1 25	2 42	NR = 4
Utilization of resources	1 20	2 46	NR = 5
Staff	1 13	2 53	NR = 4
Schedules	1 32	2 35	NR = 4
Other *(record)*	1 1	2 69	NR = 1

____

PART 6: DISSEMINATION

17a. How has information about this project been disseminated?

	YES	NO	
Publication of journal articles	1 25	2 42	NR = 4
Presentation of papers at conferences	1 16	2 52	NR = 5
Submission of articles to commercial publications	1 16	2 50	NR = 5
Dissemination through OLLR	1 42	2 21	NR = 8
Dissemination through ERIC	1 50	2 15	NR = 6
Dissemination through GPO	1 7	2 57	NR = 7
Other (*record*) ______	1 28	2 38	NR = 5

17b. When are these dissemination activities carried out?

At onset of project	1 13
During project plan	2 35
At the end of project	3 46
Whenever possible	4 32

17c. Who is involved in formal and informal dissemination activities? On a scale of 1 to 5, where 1 is very useful and 5 is very useless, rate the usefulness of these disseminators. Usefulness refers to the number and type of inquiries that are received as a result of the dissemination activity.

DISSEMINATOR	INVOLVED		USEFULNESS				
	YES	NO	Very Useful				Very Useless
U.S. Office of Education	1 47	2 10	1 17	2 12	3 10	4 3	5 3
Other Federal	1 25	2 35	1 8	2 5	3 4	4 3	5 6
Sponsoring Agency	1 51	2 12	1 20	2 15	3 6	4 6	5 3
Project Director	1 60	2 6	1 46	2 6	3 6	4 2	5 0
Project staff	1 57	2 8	1 39	2 13	3 3	4 4	5 0
Other (*record*) ______	1 12	2 47	1 7	2 3	3 1	4 0	5 0

PART 7: IMPACT/REPLICATION OF PROJECT

18a. What impact has your project had on its target population?

Please explain: See Chapter 6

INTERVIEWER: ASK QUESTION 18b ONLY IF THE PROJECT IS A DEMONSTRATION PROJECT

18b. Please rate the likelihood that your project will be replicated by each of the following. Please use a scale of 1 to 5, where 1 is very likely and 5 is very unlikely. *(Read list)*

POTENTIAL USERS	Very Likely				Very Unlikely
Special libraries	1 7	2 4	3 4	4 7	5 25
Academic libraries	1 10	2 3	3 4	4 13	5 17
Public libraries	1 14	2 6	3 14	4 3	5 9
School libraries	1 7	2 7	3 8	4 9	5 16
Local school districts	1 7	2 5	3 9	4 7	5 18
Federal government agencies . .	1 5	2 6	3 8	4 5	5 21
State and local agencies	1 9	2 7	3 13	4 2	5 16
Other *(record)*	1 6	2 3	3 2	4 0	5 1

18c. Has this project developed procedures for assisting organizations interested in replicating your project?

YES 1 39

NO 2 30

Please describe: NR= 2

18d. What type of an agreement would be needed between your project and organizations interested in replicating your project?

Formal with resource commitments	1	17
Formal without resource commitments . .	2	4
Informal commitments	3	24
Other (*record*)	4	12

____

____

18e. In your estimation, what resources will be needed to replicate your project?

	DESCRIPTION AND ESTIMATED COST
Total funding	
Equipment	See Chapter 6.
Personnel	
Other miscellaneous . .	

PART 8: RELATIONSHIP WITH OTHER PROJECTS

*
19a. Are you aware of any library networking or cooperative projects that your project's products or results are applicable to?

YES *(go to question 19b)* . . . 1 43

NO *(go to question 19c)* . . . 2 26

NR = 2

19b. Have these products or results been utilized by such networking or cooperative projects?

YES 1 21

NO 2 15

19c. Is your project utilizing, as test or satellite sites, libraries that are members of a cooperative or networking project?

YES *(go to question 19d)* . . . 1 27

NO *(go to question 20a)* . . . 2 34

NR =10

19d. When selecting and arranging for these libraries as test or satellite sites, did you work through the cooperative or networking project headquarters?

YES 1 12

NO 2 13

*
20a. Do you have any formal relationships with any other Research and Demonstration Projects?

YES 1 10

NO *(go to question 20d)* . . . 2 58

NR = 3

20b. If yes, how often do you engage in each of the following with these projects? On a scale of 1 to 5, where 1 is very useful and 5 is very useless, rate the usefulness of each of these forms of interaction in terms of their impact on the successful progress of the project. *(Read List)*

			USEFULNESS				
INTERACTIONS	RATE OF USE		Very Useful				Very Useless
Problem oriented meetings .	Once every ________	month(s)	1 6	2 0	30	4 4	5 0
Written communication . . .	Once every ________	month(s)	1 3	2 0	33	4 0	5 2
Site visits	Once every ________	month(s)	1 3	2 2	31	4 1	5 0
Informal liaison	Once every ________	month(s)	1 4	2 3	31	4 0	5 0
Participate on each other's advisory board . .	Once every ________	month(s)	1 2	2 0	30	4 1	5 0
Joint projects	Once every ________	month(s)	1 4	2 1	30	4 1	5 0
Other *(record)*	Once every ________	month(s)	1 3	2 0	30	4 0	5 0

____

____

20c. If no, do you have any informal relationships with other Research and Demonstration projects?

YES 1 21

NO *(go to question 21a)* . . 2 32

20d. Please describe: ____

____

____

____

PART 9: PROJECT STAFFING

21a. How many of each of the following types of personnel are/were staffing your project?

POSITION	Number of Full Time	Number of Part Time	Full Time Equivalent
Administrators			
Librarians			
Research Analysts			
Systems Analysts			
Programmers			
Consultants			
Paraprofessionals			
Clerical			
Other *(record)*			

N/A

21b. Were your manpower estimates adequate?

YES *(go to question 22a)* . . . 149

NO 221

NR = 1

21c. What changes are desired/were made?

See Chapter 6

PART 10: FINANCIAL CHARACTERISTICS

22a. What are/were the funding sources for this HEA II-B project? How much funding does/did each source provide?

SOURCE	DOLLAR AMOUNT	IN-KIND Yes	IN-KIND No	DESCRIPTION OF IN-KIND SERVICE
Federal HEA II-B Research and Demonstration	$	1	2	
Other Federal (identify ____)	$	1	2	
Council for Library Resources	$	1	2	
State	$	1	2	
Local	$	1	2	
Sponsoring Organization . . .	$	1	2	
Participating members	$	1	2	
Other (*record*)	$	1	2	

See Chapt

22b. Who was involved in the preparation of the budget for this project?

	Yes	No	
Principal investigator	168	2 1	NR = 2
Representative of sponsoring agency	152	2 17	NR = 2
Advisory Council	118	2 49	NR = 4
Other (*record*)	124	2 45	NR = 3

22c. Were the HEA II-B Research and Demonstration funds used as:

	Yes	No	
Seed money	129	2 37	NR = 5
To supplement funds from other Federal sources	1 6	2 59	NR = 6
To supplement funds from State sources	1 8	2 58	NR = 5
To supplement funds from all other sources	116	2 49	NR = 6

23a. Have you approached other sources for financial assistance to supplement HEA II-B funds?

YES (*go to question 23b*) . . . 1 28

NO (*go to question 24*) . . . 2 41

NR = 2

23b. What sources were approached? Which of these sources have provided funding for your project?

	YES	NO	AMOUNT OF FUNDS PROVIDED
LSCA I	1 4	2 64	$ ________
LSCA III	1 3	2 65	$ ________
Other Federal . . . (*identify*) ________	1 10	2 61	$ ________
State	1 10	2 60	$ ________
Local	1 10	2 61	$ ________
Other (*record*) . . . ________	1 14	2 56	$ ________

24. I am going to read a series of statements presenting possible effects of Federal control of the selection and funding of HEA II-B Research and Demonstration projects. For each statement, please indicate the degree to which you agree or disagree with the statement on a scale of 1 to 5, where 1 is agree strongly and 5 is disagree strongly.

STRENGTH OF AGREEMENT

	Agree Strongly				Disagree Strongly
Research and demonstration projects have become responsive to critical needs	1 26	2 20	3 12	4 3	5 0
Projects that could not have been funded by State or local government agencies have been funded	1 43	2 17	3 2	4 1	5 0
Research and demonstration projects focusing on national needs are funded instead of projects responding to local needs	1 15	2 21	3 11	4 6	5 2
Duplication of research and demonstration is avoided	1 16	2 15	3 14	4 8	5 2
The results of research and demonstration projects are widely disseminated	1 12	2 7	3 21	4 15	5 5
Other (*record*) . . . . ________	1 1	2 0	3 0	4 0	5 0

25. Now I am going to read each of the objectives of the Research and Demonstration Component of the HEA II-B Program at the Federal level. On a scale of 1 to 5 where 1 is highly successful and 5 is highly unsuccessful, please rate the success with which each objective has been met.

	DEGREE OF SUCCESS					
OBJECTIVE	Highly Successful				Highly Unsuccessful	Don't Know/ No Opinion
Conducting needs assessments to determine needs for new service patterns.	1 7	2 21	3 10	4 7	5 0	0 15
Development of innovative service patterns using existing resources	1 6	2 24	3 16	4 3	5 0	0 12
Conducting needs assessments to determine the needs of special target populations . .	1 10	2 21	3 7	4 4	5 2	0 17
Developing service patterns responsive to the needs of special target populations . .	1 12	2 17	3 11	4 5	5 2	0 14
Developing more efficient uses of resources to fulfill user needs	1 8	2 16	3 17	4 8	5 0	0 11
Developing new technologies or new applications of existing ones	1 13	2 19	3 7	4 6	5 1	0 14
Conducting needs assessments to determine training needs	1 5	2 13	3 14	4 8	5 1	0 14
Designing training programs	1 6	2 16	3 17	4 5	5 1	0 13

26a. Should the current funding level of the Research and Demonstration Component of the HEA II-B Program be increased, decreased, or remain unchanged? For the past 5 years it has been one million dollars a year.

Increased to $ [| | | | | | | | |] . . 1 48
Decreased to $ [| | | | | |] 2 2
Remain the same 3 2
Don't know/No opinion 4 2
NR = 1

26b. Given the current level of funding, should this program fund:

A few large grants 1 7
or
Several smaller grants 2 8
Both 3 39
NR =17

26c. Given the current level of funding, should this program fund Research and Demonstration projects directed towards:

Serving the traditional library user . . . 1 2
or
Outreach types of activities 2 16
Both 3 38
NR = 15

26d. Given the current level of funding, should preference be given to:

Research projects 1 10
or
Demonstration projects 2 12
Both 3 44
NR = 5

26e. If both, what proportions should be distributed to each area?

Research ______%
Demonstration ______% N/A
100%

26f. Given the current level of funding, should Research and Demonstration projects receive multi-year funding?

YES 1 55
NO 2 11

Please explain why: ______________________________

* 26g. How can the program be improved at the Federal level?

See Chapter 7

27a. Are you aware of the method currently used by the U.S. Office of Education to select grant applications for funding under the Research and Demonstration Component of the HEA II-B program?

YES (*go to question 27b*). . . : 141
NO (*go to question 28a*). . . 227
NR = 3

* 27b. What, in your opinion, are the strengths and weaknesses of this method? (*Record*)

Strengths: See Chapter 5

Weaknesses: ______________________________

27c. Should this method be modified in any way?

YES *(go to question 27d)* . . . 126

NO *(go to question 28a)* . . . 211

NR = 4

27d. Please describe how it should be modified.

See Chapter 7

28a. Are you aware of the method used by the U.S. Office of Education to select the Application Review Panel for the HEA II-B Research and Demonstration program?

YES *(go to question 28b)* . . . 119

NO *(go to question 29a)* . . . 251

NR = 2

28b. Does this panel adequately represent the various components of the library and information science community?

YES 1 6

NO 2 5

NR = 8

28c. Should the method used to select the Application Review Panel be changed?

YES *(go to question 28d)* . . . 1 8

NO *(go to question 29a)* . . . 2 9

NR = 2

28d. Please describe how that method should be changed:

29a. In your opinion, is enough time provided to potential applicants to prepare a research proposal?

YES *(go to question 30)* . . . 124

NO *(go to question 29b)* . . . 239

NR = 9

29b. How much time should be provided for potential applicants to respond to the grant cycle?

N/A Months

30a. At one time, an Advisory Committee was assisting and guiding the HEA II-B program in defining objectives, selecting proposals and overall program management. In your opinion, should an Advisory Committee be reinstated?

YES (*obtain explanation, go to question 30b*) . . . 143

NO (*obtain explanation, go to question 31a*) . . . 220

NR = 8

Please explain: ______________________________

30b. What types of individuals should be represented on this Advisory Committee?

	Yes	No	
Library Administrators	141	219	NR = 11
Researchers	138	222	NR = 11
Chief Officers of State Library Agency	133	226	NR = 12
NCLIS representatives	132	225	NR = 14
Representatives of private self interest groups (i.e., CLR)	125	233	NR = 13
Representatives from library schools	137	223	NR = 11
Public Librarians	140	220	NR = 11
Academic Librarians	139	221	NR = 11
Special Librarians	135	224	NR = 12
School Librarians	138	222	NR = 11
Automation experts	130	239	NR = 12
Other (*record*)	122	239	NR = 10

____

31a. Should State Library Agencies be involved in any aspect of the Research and Demonstration Component of the HEA II-B program?

YES (*go to question 31b*) 140

NO (*obtain explanation, go to question 32*) . . . 225

NR = 6

Please explain: ______________________________

31b.* Should the State Library Agencies: *(Read list)*

	Yes	No	
Be responsible for collecting and forwarding HEA II-B grant applications to the U.S. Office of Education	1 3	2 63	NR = 5
Receive an information copy of HEA II-B grant applications submitted by organizations in that State	1 32	2 34	NR = 5
Participate in the review and selection of grant applications to be funded nationally	1 13	2 53	NR = 5
Participate in the review and selection of grant applications to be funded in that State	1 16	2 50	NR = 5
Be required to participate on advisory boards for individual HEA II-B projects	1 22	2 44	NR = 5
Be represented on the HEA II-B program Advisory Board if that Board were to be reinstated	1 33	2 32	NR = 6
Other *(record)*	1 0	2 71	

32.* DO YOU HAVE ANY OTHER COMMENTS ABOUT THE ISSUES RAISED IN THIS INTERVIEW OR THE STUDY ITSELF? *(RECORD)*

N/A

We would appreciate it if you would please send us:

(a) Your project plan

(b) Any promotional material you have produced

(c) Any summary of analytical reports you have written about this project.

As part of this study we intend to survey a select sample of individuals involved in library research and demonstration. The purpose of including these persons stems from the need to obtain highly informed observers. We would like your assistance in identifying people known to you as well as the institution they are affiliated with. The names you provide will not become part of any system of records. Any lists we develop will be destroyed upon completion of the survey.

(name) (institutional affiliation)

(name) (institutional affiliation)

(name) (institutional affiliation)

Thank you.

H	7		

OMB NO. 51-S77019
EXPIRES: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS, AND DEMONSTRATION PROJECTS

TELEPHONE INTERVIEW GUIDE: MEMBERS OF THE U.S. OFFICE OF EDUCATION'S APPLICATION REVIEW PANEL

Project Name: ____________________

Time Call Placed: ____:____ A.M. P.M.

WATS 1
Direct 2

Number Called ____________________

Respondent's Name: ____________________

Respondent's Title: ____________________

Time Call Ended: ___:___ A.M. P.M.

Date of Interview: __/__/__

Interviewer: ____________________

INTRODUCTORY STATEMENT TO ACCOMPANY TELEPHONE INTERVIEW

GOOD (MORNING, AFTERNOON), MY NAME IS ______________, AND I REPRESENT APPLIED MANAGEMENT SCIENCES OF SILVER SPRING, MARYLAND. WE ARE UNDER CONTRACT TO THE OFFICE OF PLANNING, BUDGETING AND EVALUATION OF THE U.S. OFFICE OF EDUCATION TO CONDUCT A STUDY OF LIBRARY COOPERATIVES, NETWORKS AND DEMONSTRATION PROJECTS. THIS STUDY IS CONCERNED WITH TWO PROGRAMS. ONE IS FUNDED UNDER THE AUTHORITY OF TITLE III, LIBRARY SERVICES AND CONSTRUCTION ACT (LSCA). THE OTHER PROGRAM IS FUNDED UNDER THE AUTHORITY OF THE RESEARCH AND DEMONSTRATION COMPONENT OF TITLE II-B, HIGHER EDUCATION ACT (HEA).

I WOULD LIKE TO SPEND THE NEXT 15 MINUTES DISCUSSING THE REVIEW AND SELECTION PROCESS USED BY THE U.S. OFFICE OF EDUCATION TO AWARD GRANTS FOR THE RESEARCH AND DEMONSTRATION COMPONENT OF THE HEA II-B PROGRAM. [IS THIS TIME CONVENIENT? WHEN WOULD IT BE CONVENIENT TO DISCUSS THIS MATTER? OBTAIN APPOINTMENT.]

Interviewer: Read the following statement to the respondent before asking any questions contained in this instrument.

THIS STUDY IS AUTHORIZED BY LAW (20 USC 1226). WHILE YOU ARE NOT REQUIRED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THIS SURVEY COMPREHENSIVE, ACCURATE, AND TIMELY.

BEFORE YOU BEGIN, IF AT ANY TIME YOU DO NOT FULLY UNDERSTAND A PARTICULAR TERM, I WILL PROVIDE A DEFINITION USING THE GLOSSARY DEVELOPED FOR THIS STUDY.

1. Were the guidelines for the Research and Demonstration Component of the HEA II-B program clearly explained to you prior to your participation in the application review panel?

YES	1	39
NO	2	5

NR=1

2. Were you made aware of the objectives of the Research and Demonstration Component of the HEA II-B program?

YES	1	42
NO	2	3

3a. Were you given enough time to review and comment on each application?

YES (*go to question 4a*) . .	1	29
NO (*go to question 3b*) . .	2	16

3b. At an average, how many hours should be devoted to reviewing each application?

N/A hours

4a. Were you required to review and comment on grant applications in areas other than your field of expertise?

YES (*go to question 4b*) . .	1	13
NO (*go to question 5*) . . .	2	30

NR=2

4b. In your opinion, were you able to provide adequate review of applications outside your field of expertise?

YES (*go to question 5*) . .	1	11
NO	2	5

Please explain: NR=29 ________________________________

____

____

____

5. On any given proposal, were your recommendations generally congruent with the recommendations of the other members of the application review panel?

YES	1	6
NO	2	0
DON'T KNOW	3	39

6a. Do you know which projects were funded that year?

YES	1	23
NO *(go to question 7a)*	2	22

6b. Of the proposals you reviewed, were your recommendations generally follows?

Never	1	0
Sometimes	2	10
Most of the time	3	8
Always	4	5

7a. In your opinion, was the application review panel representative of the library community as a whole?

YES *(go to question 8)*	1	32
NO *(go to question 7b)*	2	6
DON'T KNOW *(go to question 8)*	3	7

7b. What other elements of the library community should have been represented.

N/A

8. How many times have you participated as a member of the application review panel?

______ times AVERAGE = 1.8

9. What is your opinion of the review process by which applications are selected for grant awards?

Excellent	1	4
Good	2	17
Adequate	3	16
Inadequate	4	7
Poor	5	1

Please explain: NR=1

PART II: HEA II-B POLICY

9. I am going to read a series of statements presenting possible effects of Federal control of the selection and funding of HEA II-B Research and Demonstration projects. For each statement, please indicate the degree to which you agree or disagree with the statement on a scale of 1 to 5, where 1 is agree strongly and 5 is disagree strongly.

	STRENGTH OF AGREEMENT					
	Agree Strongly				Disagree Strongly	
Research and demonstration projects have become responsive to critical needs	1 9	2 15	3 14	4 5	5 1	NR=1
Projects that could not have been funded by State or local government agencies have been funded	1 22	2 17	3 2	4 0	5 1	NR=3
Research and demonstration projects focusing on national needs are funded instead of projects responding to local needs	1 12	2 8	3 9	4 10	5 3	NR=3
Duplication of research and demonstration is avoided	1 5	2 17	3 10	4 5	5 5	NR=3
The results of research and demonstration projects are widely disseminated	1 5	2 6	3 9	4 11	5 13	NR=1
Other (record)	1 0	2 1	3 0	4 0	5 0	NR=44

10. Now I am going to read each of the objectives of the Research and Demonstration Component of the HEA II-B Program at the Federal level. On a scale of 1 to 5, where 1 is highly successful and 5 is highly unsuccessful, please rate the success to which each objective has been met since the program's redirection in 1971.

OBJECTIVE	Highly Successful				Highly Unsuccessful	
Conducting needs assessments to determine needs for new service patterns	1 4	2 20	3 7	4 4	5 2	NR=8
Development of innovative service patterns using existing resources	1 8	2 19	3 11	4 4	5 0	NR=0
Conducting needs assessments to determine the needs of special target populations	1 13	2 17	3 5	4 1	5 3	NR=6
Developing service patterns responsive to the needs of special target populations	1 6	2 17	3 11	4 4	5 1	NR=6
Developing more efficient uses of resources to fulfill user needs	1 3	2 19	3 13	4 4	5 2	NR=4
Developing new technologies or new applications of existing ones	1 5	2 19	3 7	4 6	5 0	NR=8
Conducting needs assessments to determine training needs	1 4	2 14	3 12	4 6	5 2	NR=7
Designing training programs	1 3	2 14	3 9	4 7	5 2	NR=10

11a. Should the current funding level of the Research and Demonstration Component of the [illegible] II-B Program be increased, decreased, or remain unchanged? For the past 5 years it has been one million dollars a year.

Increased to $ ☐☐☐☐☐☐☐☐☐☐ . .	1	41
Decreased to $ ☐☐☐☐☐☐☐	2	3
Remain the same	3	1

11b. Given the current level of funding, should this program fund:

	A few large grants	1	3
or	Several smaller grants	2	7
	Both	3	35

11c. Given the current level of funding, should this program fund Research and Demonstration projects directed towards:

	Serving the traditional library user . . .	1	3
or	Outreach types of activities	2	12
	Both	3	29
			NR=1

11d. Given the current level of funding, should preference be given to:

	Research projects	1	7
or	Demonstration projects	2	6
	Both	3	32

11e. If both, what proportions should be distributed to each area?

Research ______%

Demonstration ______% N/A

100%

11f Given the current level of funding, should Research and Demonstration projects receive multi-year funding?

YES	1	31
NO	2	14

Please explain why: ______________________________

12a. Are you aware of the method currently used by the U.S. Office of Education to select grant applications for funding under the Research and Demonstration Component of the HEA II-B program?

YES *(go to question 7b)* . . . 1 42

NO *(go to question 8a)* . . . 2 3

12b. What, in your opinion, are the strengths and weaknesses of this method? *(Record)*

Strengths: SEE CHAPTER 7

Weaknesses:

12c. Should this method be modified in any way?

YES *(go to question 7d)* . . . 1 31

NO *(go to question 8a)* . . . 2 3

NR=11

12d. Please describe how it should be modified.

SEE CHAPTER 7

13a. Are you aware of the method used by the U.S. Office of Education to select its Application Review Panel?

YES *(go to question 13b)* . . . 1 4

NO *(go to question 14a)* . . . 2 41

13b. Does this panel adequately represent the various components of the library and library research communities?

YES 1 4

NO 2 3

NR=38

13b. Should the method used to select the Application Review Panel be changed?

YES *(go to question 13c)* . . . 1 1

NO *(go to question 14a)* . . . 2 3

NR=41

13c. Please describe how that method should be changed.

N/A

14a. In your opinion, is enough time provided to potential applicants to prepare a research proposal?

YES *(go to question 15a)* . . . 1 22

NO *(go to question 14b)* . . . 2 21

NR=2

14b. How much time should be provided for potential applicants to respond to the grant cycle?

_______ months

15a. At one time, an Advisory Committee was assisting and guiding the HEA II-B program in defining objectives, selecting proposals and overall program management. In your opinion, should an Advisory Committee be reinstated?

YES *(obtain explanation, go to question 15b)* . . . 1 31

NO *(obtain explanation, go to question 16a)* . . . 2 7

NR=7

Please explain: ______________________________

15b. What types of individuals should be represented on this Advisory Committee?

	Yes		No		
Library Administrators	1	31	2	14	
Researchers	1	29	2	16	
Chief Officers of State Library Agency . . .	1	23	2	22	
NCLIS representatives	1	21	2	23	NR=1
CLR representatives	1	20	2	24	NR=1
Representatives from library schools	1	27	2	18	
Librarians from public, academic, special, and/or school librarians	1	29	2	16	
Automation experts	1	25	2	19	NR-1
Other *(record)*	1	13	2	30	NR=2

____

16a. Should State Library Agencies be involved in any aspect of the Research and Demonstration Component of the HEA II-B program?

YES *(go to question 16b)*	1	25
NO *(obtain explanation, go to question 17)* . . .	2	19
		NR=1

Please explain: ____

____

____

____

16b. Should the State Library Agencies: *(Read List)*

	Yes	No	
Be responsible for collecting and forwarding HEA II-B grant applications to the U.S. Office of Education	1 7	2 38	
Receive an information copy of HEA II-B grant applications submitted by organizations in that State	1 24	2 21	
Participate in the review and selection of grant applications to be funded nationally	1 11	2 34	
Participate in the review and selection of grant applications to be funded in that State . .	1 14	2 31	
Be required to participate on advisory boards for individual HEA II-B projects	1 7	2 36	NR=2
Be represented on the HEA II-B program Advisory Board if that Board were to be reinstated	1 16	2 28	NR=1
Other *(record)*	1 7	2 38	

N/A

17. Do you have any other comments about the issues raised in this interview or the study itself? *(Record)*

As part of this study we intend to survey a select sample of individuals involved in library research and demonstration. The purpose of including these persons stems from the need to obtain highly informed observers. We would like your assistance in identifying people known to you as well as the institution they are affiliated with. The names you provide will not become part of any system of records. Any lists we develop will be destroyed upon completion of the survey.

(name) (institutional affiliation)

(name) (institutional affiliation)

(name) (institutional affiliation)

Thank you.

H	8			

OMB NO. 51-S77019
Expires: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS AND DEMONSTRATION PROJECTS

INTERVIEW GUIDE: "ADDITIONAL SITES" OF HEA II-B PROJECT

Respondent's Name: ______________________________

Respondent's Title: ______________________________

Respondent's Address: ____________________________

____

____

Time and Date of Interview: ___:___ (Time) ___/___/___ (Date)

Interviewer: ______________________________

Interviewer: Read this statement to respondent before asking any questions contained in this instrument.

THIS STUDY IS AUTHORIZED BY LAW (20 USC 1226). WHILE YOU ARE NOT REQUIRED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THIS SURVEY COMPREHENSIVE, ACCURATE, AND TIMELY.

BEFORE WE BEGIN, IF AT ANY TIME YOU DO NOT FULLY UNDERSTAND A PARTICULAR TERM, I WILL PROVIDE A DEFINITION USING THE GLOSSARY DEVELOPED FOR THIS STUDY.

1a. How did your library first become aware of this HEA II-B Research and Demonstration project?

____

____

____

1b. When did your library first become aware of the project?

____
(month/year)

2. Why did your library decide to participate in this project?

REASONS	YES	NO
Recommended by Advisory Board . . .	1	2
To fulfill a need identified in a formal needs assessment	1	2
Project offered service(s) this library did not offer	1	2
Other *(record)*	1	2

____

3a. Are your libraries' objectives for this project the same as those of the project?

YES *(go to question 3c)* 1

NO 2

Please explain the difference: ______________________________

____

____

3b. What are your libraries' objectives for the project and how well are they being met?

OBJECTIVE	DEGREE MET Better Than Expected	 As Expected	 Not As Well As Expected
(1) ____________________	1	2	3
____________________			
(2) ____________________	1	2	3
____________________			
(3) ____________________	1	2	3
____________________			
(4) ____________________	1	2	3
____________________			
(5) ____________________	1	2	3
____________________			
(6) ____________________	1	2	3
____________________			

3c. How does this library determine whether or not the project is meeting its objectives for using the project? How often is each method used?

METHODS	Yes	No	RATE OF USE
Assessment by project	1	2	Once every _______ month(s)
Assessment by sponsoring agency	1	2	Once every _______ month(s)
Assessment by OLLR	1	2	Once every _______ month(s)
External assessment	1	2	Once every _______ month(s)
Assessment by Advisory Panel	1	2	Once every _______ month(s)
Assessment by intended beneficiaries	1	2	Once every _______ month(s)
Formal survey (*record*)	1	2	Once every _______ month(s)

____

____

Other (*record*) . . . . Once every _______ month(s)

4. On a scale of 1 to 5, where 1 is a very major problem and 5 is not a problem, please indicate the degree to which each of the following has been a problem in the operation of this project. *(Read List)*

	SERIOUSNESS OF PROBLEM				
PROBLEM	A Very Major Problem				Not A Problem
Not enough funding	1	2	3	4	5
Inappropriate staff.	1	2	3	4	5
Not enough materials	1	2	3	4	5
Not enough facilities.	1	2	3	4	5
Inappropriate facilities	1	2	3	4	5
Lack of cooperation from intended beneficiaries.	1	2	3	4	5
Lack of cooperation from local government. . . .	1	2	3	4	5
Lack of cooperation from local libraries	1	2	3	4	5
Lack of cooperation from State government. . . .	1	2	3	4	5
Lack of cooperation from State library agency. .	1	2	3	4	5
Difficulty in assessing needs	1	2	3	4	5
Difficulty in evaluating progress.	1	2	3	4	5
Difficulty in reaching users	1	2	3	4	5
Procedural requirements of sponsoring agency hinder operation of project	1	2	3	4	5
Other *(record)*	1	2	3	4	5

____

5. How many of each of the following types of personnel are/were staffing your project?

POSITION	Number of Full Time	Number of Part Time	Full Time Equivalent
Administrators			
Librarians			
Research Analysts			
Programmers			
Consultants			
Paraprofessionals			
Clerical			
Other *(record)*			

6. What funding sources support your participation in this project? How much funding is received from each source?

SOURCE	Amount	In-Kind
Feder HEA II-B Research and Demonstration Program . .	$	1
Agency Sponsoring the HEA II-B Project.	$	2
Private Self Interest Group (i.e. CLR).	$	3
State	$	4
Local	$	5
Other *(record)*	$	6

____

____

7a. What type of an agreement do you have with the project headquarters?

Formal with resource commitments by the library *(go to question 7c)* 1
Formal with resource commitments by the project *(go to question 7c)* 2
Formal with resource commitments by both parties 3
Informal commitments *(go to question 7b)* 4
Other *(record)* 5

____

____

7b. If informal commitments, please describe: ________________________________

____

____

8a. Do you have any formal relationships with any other Research and Demonstration projects?

YES *(go to question 8b)* 1

NO *(go to question 8c)* 2

If yes, how often do you engage in each of the following? On a scale of 1 to 5, where 1 is very useful and 5 is very useless, rate the usefulness of each of these forms of interaction in terms of their impact on the successful progress of the project at your library? *(Read list)*

INTERACTIONS	RATE OF USE		USEFULNESS				
			Very Useful				Very Useless
Problem oriented meetings .	Once every ________	month(s)	1	2	3	4	5
Written communication . . .	Once every ________	month(s)	1	2	3	4	5
Site visits	Once every ________	month(s)	1	2	3	4	5
Informal liaison	Once every ________	month(s)	1	2	3	4	5
Participate on each other's advisory board . .	Once every ________	month(s)	1	2	3	4	5
Joint projects	Once every ________	month(s)	1	2	3	4	5
Other *(record)*	Once every ________	month(s)	1	2	3	4	5

____

____

8c. If no, do you have any informal relationship with other Research and Demonstration projects?

YES 1

NO *(go to question 9a)* . . . 2

8d. Please describe this informal relationship:

____

____

____

9a. How often has the HEA II-B Project you are participating in provided the following types of assistance? On a scale of 1 to 5 where 1 is very useful and 5 is very useless, please rate the usefulness of each type of assistance you receive. (*Read list*)

		USEFULNESS OF ASSISTANCE				
METHOD	RATE OF USE	Very Useful				Very Useless
Review and feedback on written reports	Once every ________ month(s)	1	2	3	4	5
Site visits to library .	Once every ________ month(s)	1	2	3	4	5
Citations from literature passed on to library . .	Once every ________ month(s)	1	2	3	4	5
Brainstorming sessions .	Once every ________ month(s)	1	2	3	4	5
Referral to other projects	Once every ________ month(s)	1	2	3	4	5
Other (*record*)	Once every ________ month(s)	1	2	3	4	5

____

____

9b. How is most of this assistance provided?

Via telephone 1

At meetings 2

During site visits. 3

By mail 4

Other (*record*). 5

____

9c. How often is the assistance provided to you directly related to your needs?

Always 1

Usually 2

Occasionally. 3

Never 4

9d. When you specifically request assistance, do you ever have difficulty in obtaining it?

Always 1
Usually 2
Occasionally 3
Never 4

9e. When you request assistance from the project, on the average, how long does it take them to respond?

Immediately. 1
____________________ weeks

10. Please describe the impact this project has had on users of its services.

11a. Are you familiar with the operation and objectives of the Research and Demonstration Component of the HEA II-B Program at the Federal level?

YES 1
No . . . *(go to question 14)* . . . 2

11b. I am going to read a series of statements presenting possible effects of Federal control of the selection and funding of HEA II-B Research and Demonstration projects. For each statement, please indicate the degree to which you agree or disagree with the statement on a scale of 1 to 5, where 1 is agree strongly and 5 is disagree strongly.

	STRENGTH OF AGREEMENT				
	Agree Strongly				Disagree Strongly
Research and demonstration projects have become responsive to critical needs	1	2	3	4	5
Projects that could not have been funded by State or local government agencies have been funded	1	2	3	4	5
Research and demonstration projects focusing on national needs are funded instead of projects responding to local needs.	1	2	3	4	5
Duplication of research and demonstration is avoided	1	2	3	4	5
The results of research and demonstration projects are widely disseminated.	1	2	3	4	5
Other *(record)*	1	2	3	4	5

12. Now I am going to read each of the objectives of the Research and Demonstration Component of the HEA II-B Program at the Federal level. On a scale of 1 to 5 where 1 is highly successful and 5 is highly unsuccessful, please rate the success with which each objective has been met since redirection in 1971.

	DEGREE OF SUCCESS				
OBJECTIVE	Highly Successful				Highly Unsuccessful
Conducting needs assessments to determine needs for new service patterns	1	2	3	4	5
Development of innovative service patterns using existing resources	1	2	3	4	5
Conducting needs assessments to determine the needs of special target populations . . .	1	2	3	4	5
Developing service patterns responsive to the needs of special target populations . . .	1	2	3	4	5
Developing more efficient uses of resources to fulfill user needs	1	2	3	4	5
Developing new technologies or new applications of existing ones	1	2	3	4	5
Conducting needs assessments to determine training needs	1	2	3	4	5
Designing training programs	1	2	3	4	5

13a. Should the current funding level of the Research and Demonstration Component of the HEA II-B Program be increased, decreased, or remain unchanged.

Increased to $ |_|_|_|_|_|_|_|_|_|_| . . 1

Decreased to $ |_|_|_|_|_|_| 2

Remain the same 3

13b. Given the current level of funding, should this program fund:

A few large grants 1

or

Several smaller grants 2

Both 3

13c. Given the current level of funding, should this program fund Research and Demonstration projects directed towards:

Serving the traditional library user . . . 1

or

Outreach types of activities 2

Both 3

13d. Given the current level of funding, should preference be given to:

Research projects 1
or
Demonstration projects. 2
Both. 3

13e. If both, what proportions should be distributed to each area?

Research ______%
Demonstration ______%
100%

13f. Given the current level of funding, should Research and Demonstration projects receive multi-year funding?

YES 1
NO 2

Please explain why: ____

____

____

13g. How can the program be improved at the Federal level?

____

____

____

____

14. DO YOU HAVE ANY OTHER COMMENTS ABOUT THE ISSUES RAISED IN THIS INTERVIEW OR THE STUDY ITSELF? *(RECORD)*

____

____

____

____

As part of this study we intend to survey a select sample of individuals involved in library research and demonstration. The purpose of including these persons stems from the need to obtain highly informed observers. We would like your assistance i identifying people known to you as well as the institution they are affiliated with The names you provide will not become part of any system of records. Any lists we develop will be destroyed upon completion of the survey.

____________________	____________________
(name)	(institutional affiliation)
____________________	____________________
(name)	(institutional affiliation)
____________________	____________________
(name)	(institutional affiliation)

Thank you.

APPENDIX C.2

INSTRUMENTS FOR LSCA SURVEYS

OMB No. 51-S77019
Expires: 01/31/78

	0 1	1 3
1 - 4	5 - 8	9 - 10

A STUDY OF LIBRARY COOPERATIVES, NETWORKS, AND DEMONSTRATION PROJECTS

SURVEY OF STATE AND TERRITORY LIBRARY AGENCIES

This study is authorized by law (20 USC 1226). While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate, and timely.

PART 1: BACKGROUND INFORMATION

Please verify the information provided in response to Question 1a, making necessary corrections in the space provided.

1a. LSCA III projects for Fiscal Year 1976 in this State:

1. 35 States reported a change 21 States reported no change
2.
3.
4.

1b. During Fiscal Year 1976 (July 1975-June 1976), did your State have projects conforming to the LSCA III emphasis on interlibrary cooperation that were funded with LSCA I funds and/or other funds?

YES *(go to question 1c)* . . . 1 29

NO *(go to question 1d)* . . . 2 27

1c. If yes, list the name, amount of funding and its source for each of these projects:

FUNDING SOURCE

(enter dollar amount under column corresponding to source)

NAME OF PROJECT	Total Funding Level	LSCA I	Other *(specify)*		
1. ________	$____	$____	$____	________	SEE CHAPTER 9
2. ________	$____	$____	$____	________	
3. ________	$____	$____	$____	________	

1d. Please list the names, funding amount and source of funds for projects begun with LSCA III funds which are currently supported by other funds.

FUNDING SOURCE

(enter dollar amount under column corresponding to source)

NAME OF PROJECT	Total Funding Level	LSCA I	Other *(specify)*		
1. ________	$____	$____	$____	________	SEE CHAPTER 9
2. ________	$____	$____	$____	________	
3. ________	$____	$____	$____	________	

1e. Please list the names and operating dates of projects begun with LSCA III funds and important enough to continue that were discontinued because of the unavailability of funds.

NAME OF PROJECT	Year Started	Year Discontinued
1. 7 projects were identified	19___	19___
2. ______	19___	19___
3. ______	19___	19___

No projects were discontinued because of lack of funds 1

1f. For those projects initially intended to operate in excess of one year but were discontinued for reasons other than unavailability of funds, please list the name, operating dates and reasons for discontinuation.

NAME OF PROJECT	Year Started	Year Discontinued	Reason For Discontinuation
1. 7 projects were identified	19___	19___	______
2. ______	19___	19___	______
3. ______	19___	19___	______

No projects have been discontinued 1

1g. Please list the names and operating dates of projects begun with LSCA III funds whose growth was hampered due to the unavailability of funds.

NAME OF PROJECT	Year Started	
1. ______	19___	23 projects were identified
2. ______	19___	
3. ______	19___	

1h. To what extent would networks and cooperative projects have developed in this State without Federal support in the form of LSCA III funds?

Projects would have been more extensive	1	2
Projects would have developed the same as now	2	3
Projects would have been less extensive	3	26
Projects would not have been started.	4	23
Other (*record*).	5	1

PART 2: NEEDS ASSESSMENT

2a. Do you conduct formal needs assessment having implications for LSCA III activities in your State?

YES 1 44

NO (*go to question 2e*) . . 2 12

2b. If yes, when was the most recent needs assessment conducted?

N/A
(*month/year*)

2c. Please indicate which of the following methods of needs assessment are used. For each method that you do use, please rate the usefulness of that method on a scale of 1 to 5, where 1 is very useful and 5 is very useless. The term useful refers to the impact of the results of needs assessment on policy development and planning of LSCA III activities. (*Circle the appropriate number for each method*) .

	USED		USEFULNESS					
NEEDS ASSESSMENT METHOD	Yes	No	Very Useful				Very Useless	
Soliciting comments from the field	1 42	2 2	1 13	2 15	3 10	4 5	5 1	1 (NR)
Collecting input from the State Advisory Council . . .	1 40	2 4	1 9	2 10	3 20	4 3	5 0	1 (NR)
Reviewing proposals received from the field	1 32	2 12	1 9	2 12	3 8	4 3	5 1	1 (NR)
Matching needs with those identified in long range program	1 40	2 4	1 15	2 13	3 10	4 3	5 0	1 (NR)
Conducting needs survey . . .	1 29	2 15	1 16	2 5	3 7	4 0	5 0	1 (NR)
Holding open hearings	1 18	2 26	1 5	2 5	3 6	4 1	5 1	1 (NR)
Other (*specify*)	1 6	2 35	1 4	2 2	3 0	4 0	5 0	1 (NR)
____________________	5 (NR)							

2d. To what extent are the results of needs assessment used as input into the following LSCA III policy making activities? Please rate each use on a scale of 1 to 5, where 1 is used very extensively and 5 is not used. *(Circle appropriate number for each use then go to question 3a)*

USED AS INPUT INTO	EXTENT OF USE Used Very Extensively				Not Used	
Developing objectives	1 24	2 14	3 5	4 1	5 2	10 (NR)
Determining priorities for achieving objectives	1 19	2 16	3 7	4 1	5 3	10 (NR)
Modifying objectives	1 19	2 14	3 9	4 1	5 3	10 (NR)
Providing documentation to support decisions	1 21	2 11	3 7	4 3	5 3	11 (NR)
Determining criteria for project selection	1 17	2 13	3 7	4 1	5 7	11 (NR)
Determining funding allocations .	1 15	2 15	3 7	4 3	5 6	10 (NR)

2e. If a needs assessment having LSCA III implications has not been conducted, what are the reasons for this? *(Circle all that apply)*

REASONS	Yes	No	
Needs assessment not needed	1 5	2 5	2 (NR)
Lack of staff	1 5	2 5	2 (NR)
Lack of funds	1 5	2 5	2 (NR)
Other *(specify)*	1 2	2 8	2 (NR)

____

____

PART 3: DEFINING LSCA III OBJECTIVES

3a. The objective of LSCA III at the Federal level is "... to provide for the systematic and effective coordination of the resources of school, public, academic and special libraries and special information centers for improved services of a supplementary nature to the special clientele served by each type of library center."

How closely do the objectives of your State match the objectives of the LSCA III program?

Match perfectly *(go to question 3c)* . . . 1 35
Match somewhat 2 19
2 (NR)

3b. If there is not a perfect match between the objectives of your State and those of LSCA III program, please indicate which of the following reasons best explains why. *(For each reason, circle the appropriate number)*

REASONS	Yes	No	
LSCA III objectives are too global	1 8	2 10	1 (NR)
State five-year programs have specific objectives that are not perfectly matched with the LSCA III program objectives	1 14	2 5	
Needs assessment conducted at State level mandated the current State objectives	1 5	2 13	1 (NR)
Other *(specify)*	1 5	2 13	1 (NR)

____

3c. Briefly describe the role of LSCA III in terms of your State's five-year plan.

N/A

4a. Which of the following documents are used in setting objectives for LSCA III projects in your State? For each document you use, please rate its usefulness on a scale of 1 to 5, where 1 is very useful and 5 is very useless. *(Circle the appropriate number for each document)*

DOCUMENTS	USED		USEFULNESS				
	Yes	No	Very Useful				Very Useless
State long-range programs . .	1	2	1	2	3	4	5
LSCA III regulations	1	2	1	2	3	4	5
Interlibrary cooperation/ network plans	1	2	1	2	3	4	5
Results of needs assessment .	1	2	1	2	3	4	5
Other *(specify)*	1	2	1	2	3	4	5

____

4b. How often does the review of LSCA III objectives result in any changes in objectives? *(Circle the single most appropriate answer.)*

Never *(go to question 5)*	1	4
Seldom	2	18
Sometimes	3	32
Often	4	2
Always	5	0

4c. **What is the single most important factor influencing the decision to change your LSCA III objectives?**

N/A

PART 4: ALLOCATION OF LSCA III FUNDS

5a. For each of the following methods for using LSCA III funds, indicate which methods are used by your agency. For each of the methods used, please indicate the usefulness of that method on a scale of 1 to 5, where 1 is very useful and 5 is very useless. *(Circle appropriate number for each method used)*

METHODS OF USING LSCA III FUNDS	USED Yes	USED No	USEFULNESS Very Useful				Very Useless	
Soliciting proposals from the field, following formal procedures (including requests for proposals)	1 28	2 28	1 13	2 6	3 4	4 4	5 1	
Soliciting proposals informally from specific individuals or institutions for specific projects	1 30	2 26	1 14	2 8	3 6	4 0	5 2	
Distributing funds to libraries in accordance with plans for a Statewide network	1 29	2 27	1 14	2 9	3 2	4 2	5 1	1 (N
Distributing funds in accordance with a program developed at the State Level (excluding Statewide Networks)	1 26	2 30	1 13	2 11	3 1	4 0	5 1	
Inservice contracts.	1 12	2 44	1 4	2 6	3 1	4 0	5 1	
Other *(specify)*. . . . . . . ______________	1 9	2 47	1 4	2 0	3 3	4 0	5 0	(NR)

5b. When reviewing proposals requesting funding under LSCA III, which of the following criteria are used? For each criterion you use, please rate its usefulness on a scale of 1 to 5, where 1 is very useful and 5 is very useless. *(Circle appropriate number for each method used)*

	USED		USEFULNESS					
REVIEW CRITERIA	Yes	No	Very Useful				Very Useless	
Relationship to the long-range program for library development	1 44	2 10	1 27	2 12	3 3	4 1	5 1	
Soundness of procedures or operational plan of LSCA III project proposals	1 38	2 16	1 17	2 17	3 4	4 0	5 0	
Adequacy of personnel and facilities	1 36	2 18	1 18	2 12	3 5	4 1	5 0	
Capability of integrating funded activities into a permanent program of services	1 40	2 14	1 14	2 17	3 5	4 2	5 2	
Adequate support by local funds	1 23	2 31	1 9	2 9	3 5	4 4	5 1	1 (NR)
Potential success of project in attracting other funds . .	1 23	2 31	1 4	2 6	3 8	4 4	5 1	
Degree to which project addresses high priority needs	1 41	2 13	1 26	2 11	3 2	4 0	5 0	2 (NR)
Other *(specify)* . . . . ______	1 5	2 50	1 3	2 1	3 0	4 0	5 0	1 (NR)

PART 5: LSCA III POLICY MAKING

6. For each of the following persons, please indicate the type of LSCA III policy making processes each is involved in. *(Indicate by circling all that apply)*

POLICY MAKING PROCESS

PERSONS INVOLVED IN PROCESS	Assessing Needs	Setting Priorities	Setting Objectives	Determining Criteria for Allocating LSCA III Resources	Allocating LSCA III Resources
LSCA III Advisory Council	1 34	2 40	3 73	4 22	5 20
Head of State Library Agency	1 44	2 51	3 48	4 45	5 50
LSCA III Program Coordinator	1 32	2 34	3 36	4 33	5 30
USOE Regional Officer	1 9	2 13	3 8	4 18	5 14
Personnel from libraries that are members of the network funded by LSCA III	1 38	2 24	3 27	4 5	5 2
State Library Planning Staff . . .	1 45	2 43	3 43	4 30	5 21
Other *(specify)* . . .	1 6	2 8	3 7	4 5	5 2

____

7. For each of the following policy making processes, indicate the frequency with which each is used.

FREQUENCY

POLICY MAKING PROCESS	More Than Once A Year	Once A Year	Less Than Once A Year	Done Informally	Process Not Used	
Assessing needs	1 10	2 29	3 6	4 9	5 2	
Setting priorities . . .	1 7	2 38	3 7	4 3	5 1	
Setting objectives . . .	1 4	2 41	3 7	4 2	5 1	1 (NR)
Reviewing objectives . .	1 12	2 34	3 4	4 4	5 2	
Determining criteria for allocating LSCA III resources	1 2	2 41	3 6	4 3	5 4	
Allocating LSCA III resources	1 10	2 42	3 1	4 1	5 1	1 (NR)

PART 6: LSCA REQUIREMENTS

8. For each of the following requirements contained in LSCA III legislation, how useful is each in your planning for library cooperative and network projects. Please rate the usefulness of each requirement on a scale of 1 to 5, where 1 is very useful and 5 is very useless. *(Circle appropriate number and describe how items could be made more useful)*

REQUIREMENTS — USEFULNESS (Very Useful … Very Useless)

FIVE YEAR STATE PROGRAM

(i) Usefulness 1 25 2 14 3 12 4 4 5 1

(ii) How could this requirement be made more useful?

ANNUAL PROGRAM

(i) Usefulness 1 25 2 15 3 11 4 2 5 3

(ii) How could this requirement be made more useful?

BASIC STATE PLAN

(i) Usefulness . . . . 1 19 2 9 3 15 4 4 5 8 1 (NR)

(II) How could this requirement be made more useful?

PROJECT REPORTS

(i) Usefulness 1 20 2 12 3 17 4 7 5

(ii) How could this requirement be made more useful?

REQUIREMENTS	USEFULNESS				
	Very Useful				Very Useless
EMPHASIS ON NEEDS ASSESSMENT					
(i) Usefulness	1 24	2 10	3 16	4 4	5 2
(ii) How could this requirement be made more useful?					
EMPHASIS ON EVALUATION					
(i) Usefulness	1 26	2 15	3 10	4 4	5 1
(ii) How could this requirement be made more useful?					
STATE ADVISORY COUNCIL					
(i) Usefulness	1 17	2 14	3 19	4 6	5 0
(ii) How could this requirement be made more useful?					

PART 7: IMPACT OF STATE LEGISLATION ON LSCA III

9a. For each of the following, please indicate the degree of supportiveness of your State's legislature regarding State LSCA III program goals.

	Very Supportive				Very Restrictive	
Authority to work with all types of libraries	1 26	2 16	3 7	4 3	5 2	2 (NR)
Funding of library cooperative activities	1 12	2 9	3 11	4 10	5 10	4 (NR)
Monitoring of LSCA III projects.	1 8	2 7	3 22	4 6	5 4	9 (NR)
Goals of LSCA III efforts in your State. . . .	1 13	2 11	3 19	4 6	5 2	5 (NR)
Other (*specify*).	1 0	2 1	3 0	4 0	5 1	54 (NR)

9b. Has the LSCA III program resulted in any specific changes in the State legislation which impact library cooperation and networking efforts?

YES 1 20

NO (*go to question 11*) 2 36

If yes, briefly describe these changes: N/A

PART 8: PRODUCTS RESULTING FROM AVAILABILITY OF LSCA III FUNDS

10. Are there specific products, results, or programs in this State which can be attributed to the availability of Federal LSCA III funds and Federal emphasis on interlibrary cooperation and networking? If yes, please indicate the number of products or programs developed.

PRODUCTS/PROGRAMS	Yes	No	Number
Retention of systems personnel	1 13	2 43	____
Installation of TWX equipment in libraries	1 35	2 21	____
Completion of special studies	1 29	2 27	____
Participation in regional cooperative projects	1 43	2 13	____
Other (*specify*) ____	1 12	2 44	____
Participation in the Ohio College Library Center (OCLC)	1 21	2 35	
Implementation of a centralized clearinghouse of requests	1 32	2 24	
Staff development	1 38	2 18	
Other (*specify*) ____	1 14	2 42	
Other (*specify*) ____	1 6	2 50	

PART 9: ASSESSMENT OF THE LSCA III PROGRAM

11. Please indicate your assessment of the LSCA III program in the following areas.

	ASSESSMENT					
AREA	Excellent	Good In Most Cases	Adequate	Uneven	Poor	
Quality of technical assistance provided by regional library program officer	1 13	2 19	3 9	4 7	5 5	3 (NR)
Quality of project monitoring activities by regional library program officer	1 9	2 18	3 11	4 8	5 5	5 (NR)
Quality of dissemination activities at the Federal level .	1 8	2 9	3 12	4 12	5 10	5 (NR)
Quality of needs assessment at the State level	1 6	2 19	3 17	4 8	5 2	4 (NR)
Quality of objectives and priorities defined at the State level	1 13	2 27	3 8	4 6	5 0	2 (NR)
Appropriateness of criteria for allocating LSCA III funds by the State	1 19	2 16	3 13	4 4	5 2	2 (NR)
Overall impact of LSCA III projects on library services in your State	1 25	2 19	3 5	4 6	5 0	1 (NR)

PART 10: INTERSTATE COMPACTS AND MULTISTATE NETWORKS

12a. Is this State a member of an interstate library compact?

YES (*go to question 12d*) . . 1 26
NO (*go to question 12b*) . . 2 30

12b. If no, does this State plan to join an interstate library compact?

YES 1 6
NO (*go to question 12d*) . . 2 24

12c. When will this State join an interstate library compact?

N/A
(*month/year*)

12d. Is this State a member of a multistate cooperative project or network?

YES (*go to question 12g*) . . . 1 40
NO (*go to question 12e*) . . . 2 15
1 (NR)

12e. If no, does this State plan to join a multistate cooperative or network?

YES 1 5
NO (*go to question 12g*) . . 2 10

12f. When will this State join a multistate cooperative project or network?

N/A
(*month/year*)

12g. For each of the following advantages and disadvantages associated with membership in an interstate library compact, indicate the reaction which best reflects your State's perspective.

DOES MEMBERSHIP IN AN INTERSTATE LIBRARY COMPACT RESULT IN:	Yes		No	
Increased access to library resources	1	46	2	10
Increased access to library personnel with specialized skills	1	30	2	26
Better use of limited funds	1	42	2	14
Operational problems and delays caused by differences in State laws and regulations . . .	1	10	2	46
Disproportionate use of library resources of this State	1	3	2	53
Disproportionate use of library personnel in this State	1	3	2	53

PART 11: LSCA III POLICY ISSUES

13. To what extent has USOE involved the library community in defining USOE's role in library network activities? *(Circle the number corresponding to your single best answer)*

Library community has been ignored	1	7
Library community has only token involvement	2	12
Library community has had some say	3	21
Library community has played a major role	4	3
My knowledge of USOE activities is limited and I cannot respond to this question	5	13

14a. LSCA III funds are sometimes used to join existing cooperatives or networks. Do you think this is an effective use of Federal funds?

YES *(go to question 14b)*	1	55
NO *(go to question 14c)*	2	1

14b. For each of the following reasons why use of Federal funds to join existing cooperatives or networks is effective, please indicate whether it applies to you.

	Yes		No	
State restrictions make it difficult to use State funds for this purpose	1	25	2	30
Availability of Federal funds acts as an incentive for joining existing cooperatives or networks	1	51	2	4
State does not perceive its role as one of sponsoring networking	1	11	2	44
State has not recognized a need for networking	1	12	2	43
Other *(specify)*	1	5	2	50
______________________________				
Other *(specify)*	1	0	2	55
______________________________				

14c. For each of the following reasons why use of Federal funds to join existing cooperatives or networks is ineffective, please indicate whether it applies to you.

	Yes		No	
Better to use State funds for this purpose	1	0	2	1
Should use Federal funds for developing new cooperative or network projects that are needed	1	0	2	1
Other (*specify*) . . . . ____________________	1	0	2	1
Other (*specify*) . . . . ____________________	1	1	2	0

15a. LSCA III funds are distributed on a non-matching basis. Are you satisfied with this formula?

YES	1	43
NO	2	13

15b. Why? ____

____

16. What changes, if any, would you like to see in the funding formula?

CHANGES IN FUNDING FORMULA	Yes		No		
That Federal funds received be matched equally by State funds	1	10	2	44	2 (NR)
That Federal funds be overmatched by State funds	1	10	2	44	2 (NR)
That local government agencies match LSCA III funds received from State	1	7	2	47	2 (NR)
The amount of funds are made proportionate to interest in networking shown by State.	1	11	2	43	2 (NR)
Increase the basic amount of the Federal grant . . . . By how much? ________ $	1	48	2	6	2 (NR)
Other (*specify*) . . . . ____________________	1	3	2	53	
Other (*specify*) . . . . ____________________	1	0	2	56	

17. If the amount of Federal LSCA III funds received by your State were tripled, how would you use the funds? *(Circle only those which apply)*

	Yes	No	
For more activities similar to those currently funded	1 40	2 15	1 (NR)
To accelerate the current program in order to achieve its objectives more quickly	1 40	2 15	1 (NR)
To reach more libraries with existing services . . .	1 39	2 16	1 (NR)
For new activities that cannot be engaged in now because of lack of funds *(Please specify what these activities might be)*	1 39	2 15	2 (NR)
For more TWX terminals	1 11	2 44	1 (NR)
For more computer terminals	31	24	1 (NR)
Other *(specify)*	1 13	2 40	3 (NR)

18. If these funds were tripled, a minimum of how many months would be required to prepare for their use?

__________ Months

19. What are two principal strengths and two principal shortcomings of LSCA III as it now stands?

Strengths (1) ______________________________

(2) ______________________________

Weaknesses(1) ______________________________

(2) ______________________________

20. If there are comments you would like to make about the impact of LSCA III funds and future directions you think the Federal government should take with regard to library cooperative and network projects as a means of providing library and information services, please use the space provided to convey them.

We request that you forward with this questionnaire, a copy of State legislation pertaining to network development in your State.

If you have any additional comments about the issues in this questionnaire or the study itself, please use the back of this page to convey them to us.

Thank you for completing this questionnaire.

☐☐☐☐	☐☐☐☐	1 4
1 - 4	5 - 8	9 - 10

OMB NO. 51-S77019
Expires: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS, AND DEMONSTRATION PROJECTS

SURVEY OF PROJECTS FUNDED BY LSCA III IN FY 1976

This study is authorized by law (20 USC 1226). While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate, and timely.

PART 1: PROJECT CHARACTERISTICS

1. Please describe the three most important services provided by your project

(1) See Chapter 9.

(2)

(3)

2. In the space provided below, please summarize each objective of your LSCA III project for Fiscal Year 76. For each objective, please indicate the degree to which you have fulfilled that objective and whether or not that objective has been changed.

	DEGREE OF FULFILLMENT				
OBJECTIVE	Objective Surpassed	Objective Met	Objective Partially Fulfilled	Objective Deleted or Changed	
(1)	1 11	2 65	3 76	4 3	4(NR)
(2)	1 11	2 52	3 27	4 1	18(NR)
(3)	1 8	2 41	3 25	4 2	33(NR)
(4)	1 4	2 17	3 19	4 1	68(NR)
(5)	1 2	2 13	3 6	4 2	86(NR)
(6)	1 3	2 5	3 1	4 2	98(NR)

3. If any of the objectives identified in Question 2 have changed significantly from the original project objectives, please state the nature of that change. Identify changed objectives using the number shown in parentheses corresponding to that objective.

OBJECTIVE NUMBER	NATURE OF CHANGE
____	________________
	________________
____	________________
	________________
____	________________
	________________
____	________________
	________________
____	________________
	________________
____	________________
	________________

Only 10 Projects reported changes in original objectives.

4a Review each of the cooperative services and activities listed below. For each cooperative service or activity, indicate whether or not that service or activity was provided by your project, who was responsible for coordinating and/or providing it, and whether or not that service or activity was more than 50 percent computer assisted. Then, for each service or activity your project provides, please rate the success of that effort using a scale of 1 to 5, where 1 is very successful and 5 is very unsuccessful. *(Circle the number corresponding to your answer to each of the columns for each Cooperative Service or Activity)*

	IS IT PERFORMED			IS IT COORDINATED BY		
COOPERATIVE SERVICE OR ACTIVITY	Yes	No	Not Required	Project Headquarters	Pertinent Libraries	Outside Services
Acquisition and selection of library materials	1 16	2 72	3 18	1 11	2 3	3 0
Purchasing of supplies and equipment	1 26	2 65	3 16	1 20	2 1	3 0
Cataloging.	1 17	2 71	3 18	1 13	2 1	3 0
Preparation of union catalogs and lists	1 48	2 46	3 13	1 34	2 6	3 3
Reference services.	1 60	2 37	3 9	1 44	2 11	3 0
Delivery services	1 30	2 61	3 15	1 24	2 2	3 1
Reciprocal borrowing privileges	1 38	2 53	3 14	1 25	2 9	3 0
Routing of interlibrary loan requests	1 64	2 34	3 10	1 53	2 5	3 2
Planning	1 58	2 39	3 10	1 40	2 10	3 1
Warehousing	1 4	2 75	3 24	1 4	2 0	3 0
Continuing education and training . . .	1 56	2 39	3 11	1 40	2 3	3 2
Research and development.	1 27	2 64	3 15	1 21	2 2	3 1
Public relations and publicity.	1 52	2 44	3 11	1 36	2 4	3 1
Sharing and exchange of equipment . . .	1 18	2 67	3 20	1 12	2 3	3 0
Telecommunications.	1 50	2 42	3 15	1 32	2 4	3 6
Depositories.	1 7	2 77	3 22	1 6	2 0	3 0
Clearinghouses.	1 29	2 61	3 17	1 26	2 0	3 0
Learning/Resource Centers	1 7	2 79	3 21	1 5	2 2	3 0
Participation in Inter-State Networks .	1 49	2 44	3 15	1 30	2 8	3 3
Other *(specify)*	1 7	2 78	3 8	1 6	2 0	3 0

IS IT PROVIDED BY			IS IT COMPUTER ASSISTED		SUCCESSFULNESS				
Project Headquarters	Pertinent Libraries	Outside Service	Yes	No	Highly Successful				Highly Unsuccessf
1 10	2 2	3 0	1 4	2 11	1 5	2 7	3 3	4 0	5 0
1 21	2 2	3 1	1 2	2 19	1 11	2 9	3 3	4 1	5
1 15	2 1	3 0	1 11	2 2	1 6	2 6	3 4	4 0	5 0
1 24	2 7	3 5	1 19	2 26	1 21	2 17	3 8	4 1	5
1 26	2 22	3 0	1 11	2 43	1 22	2 21	3 17	4 0	5 0
1 13	2 8	3 3	1 0	2 26	1 9	2 16	3 5	4 0	5
1 9	2 18	3 1	1 4	2 32	1 12	2 16	3 8	4 0	5 0
1 27	2 22	3 0	1 11	2 50	1 24	2 27	3 11	4 2	5
1 33	2 13	3 0	1 4	2 48	1 12	2 26	3 17	4 1	5
1 3	2 1	3 0	1 1	2 3	1 0	2 3	3 1	4 0	5
1 28	2 11	3 2	1 1	2 50	1 10	2 26	3 16	4 1	5 0
1 19	2 2	3 1	1 8	2 17	1 4	2 10	3 10	4 3	5
1 37	2 6	3 1	1 1	2 46	1 4	2 18	3 27	4 1	5 1
1 6	2 7	3 0	1 1	2 16	1 4	2 8	3 3	4 2	5
1 24	2 11	3 3	1 17	2 30	1 16	2 28	3 5	4 1	5 0
1 4	2 1	3 0	1 0	2 2	1 0	2 5	3 2	4 0	5
1 23	2 1	3 1	1 5	2 20	1 10	2 11	3 5	4 2	5
1 4	2 3	3 0	1 1	2 6	1 2	2 3	3 2	4 0	5
1 24	2 8	3 2	1 19	2 22	1 13	2 21	3 11	4 0	5
1 5	2 0	3 1	1 1	2 6	1 4	2 3	3 0	4 0	5 0

4b. For each of the cooperative services and activities that your project is involved in (i.e., each of the activities to which you responded "YES" in question 4), please indicate the extent of this activity during Fiscal Year 1976 (July 1, 1975 - June 30, 1976). If an exact number cannot be provided, please use the best available estimate.

COOPERATIVE SERVICE OR ACTIVITY	Number Per Year	Project Does Not Collect Data on This Activity	This Activity Does Not Apply to Project
Selection of Materials 51,761 average			
Number of books selected		1 6	2 100
Number of periodicals selected		1 7	2 99
Number of microforms selected		1 6	2 101
Number of other media selected		1 6	2 98
Acquisition of Materials 13,080 average			
Number of books acquired		1 1	2 95
Number of periodicals acquired		1 7	2 96
Number of microforms acquired		1 6	2 100
Number of other media acquired		1 7	2 95
Cataloging of Materials 38,524 average			
Number of books cataloged		1 3	2 95
Number of periodicals cataloged		1 7	2 99
Number of microforms cataloged		1 7	2 100
Number of other media cataloged		1 7	2 98
Preparation of Union Catalogs and Lists 57,724			
Number of books entered		1 14	2 77
Number of periodicals entered		1 17	2 76
Number of microforms entered		1 18	2 87
Number of other media entered		1 16	2 86
Reference			
Number of inquiries received	11,133	1 22	2 50
Number of inquiries completed	5,564	1 27	2 52
Delivery Service			
Number of trips made	1,059	1 10	2 84
Inter-Library Loan			
Number of ILL requests received	27,125	1 11	2 46
Number of ILL requests filled with:			
Books	5,442	1 26	2 51
Periodicals		1 41	2 58
Microforms		1 41	2 57
Photo-Copy		1 35	2 55
Other Media		1 37	2 61
Number of times reciprocal borrowing privileges used		1 42	2 57
Continuing Education			
Number of conferences held		1 14	2 68
Number of training sessions conducted		1 12	2 61
Total number of participants		1 24	2 54
Public Relations/Publicity			
Number of newsletters published	11.4	1 14	2 70
Total circulation of all newsletters		1 17	2 71
Telecommunications			
Total on-line time	5,269 hours	1 34	2 61

5. How many employees in each of the following job categories were assigned to this project during fiscal year 1976 (*July 1, 1975 through June 30, 1976*)?

POSITION	PAID WITH PROJECT FUNDS			PAID WITH OTHER FUNDS		
	FULL TIME	PART TIME		FULL TIME	PART TIME	
		No. of Persons	Full Time Equivalent		No. of Persons	Full Time Equivalent
Librarians						
Other Professionals						
Computer Related Personnel						
Library Technicians and Para-Professionals						
Clerical and Other Support Staff						
Other (*specify*) ________ ________						

See Chapter 10.

6. In the following, please record all receipts for your fiscal year that most closely corresponds to the Federal Fiscal Year 1976 (July 1, 1975 through June 30, 1976) and Federal Fiscal Year 1977 (October 1, 1976 through September 30, 1977). Please enter only whole dollar amounts. Each entry must reflect actual dollars received and not in-kind services and materials.

Please indicate the start and end dates of your fiscal year:

FY 76 ____________ Start ____________ End

N/A

FY 77 ____________ Start ____________ End

SOURCE OF RECEIPT	FY 1976	FY 1977	
a. Membership fees 8 projects	a.	a.	6 projects
b. Income derived from sales of products and services to members and others (include contractual agreements for products and services; exclude membership fees) 7 projects	b.	b.	8 projects
Grants and contracts			
c. LSCA I 25 projects	c.	c.	22 projects
d. LSCA III 109 projects	d.	d.	84 Projects
e. Other Federal government 7 projects	e.	e.	9 projects
f. State government (exclude Federal monies distributed by the State) 44 projects	f.	f.	38 projects
g. Local government 5 projects	g.	g.	4 projects
h. Foundations (not included above) 1 project	h.	h.	1 project
i. Other grants and contracts not included above 6 projects	i.	i.	4 projects
j. Monetary donations 4 projects	j.	j.	5 projects
k. Investment income 7 projects	k.	k.	8 projects
l. Other sources (*describe*) 7 projects	l.	l.	8 projects

See Chapter 10 for Funding Levels.

7. On a scale of 1 to 5, where 1 is very serious and 5 is not a problem, please indicate the degree of seriousness of problems you may have encountered in the operation of this LSCA III project. *(Circle appropriate number for each problem)*

DEGREE OF SERIOUSNESS

PROBLEMS	Very Serious				Not A Problem
Not enough funding	1 26	2 24	3 21	4 10	5 26
Lack of assurance of continued financial support	1 24	2 21	3 16	4 16	5 29
Not enough staff	1 21	2 34	3 15	4 7	5 31
Inappropriate staff	1 3	2 5	3 17	4 11	5 72
Not enough materials	1 7	2 12	3 19	4 0	5 60
Inappropriate materials	1 0	2 2	3 17	4 13	5 76
Not enough facilities	1 12	2 11	3 15	4 15	5 55
Inappropriate facilities	1 10	2 6	3 8	4 17	5 66
Lack of support by intended beneficiaries	1 8	2 4	3 22	4 12	5 61
Lack of cooperation from local government	1 3	2 4	3 7	4 20	5 72
Lack of cooperation from local libraries	1 0	2 4	3 15	4 24	5 65
Lack of support by State	1 11	2 10	3 20	4 16	5 51
Lack of support by State Library Agency	1 0	2 2	3 8	4 13	5 83
Difficulty in assessing needs	1 2	2 14	3 18	4 29	5 43
Difficulty in evaluating progress	1 2	2 19	3 25	4 25	5 36
Difficulty in reaching users	1 5	2 13	3 14	4 27	5 48
Procedural requirements of sponsoring agency hinder operation of project	1 2	2 3	3 8	4 19	5 73
Other *(specify)*	1 3	2 1	3 5	4 1	5 11

____

8a. Will this project develop into a continuing project or function for only a finite term?

Ongoing (*go to question 10*). 1 93

Finite term (*go to question 9b*). . . . 2 16

8b. If finite, what are the start and end dates for the project?

Start date: __/__/__ N/A

End date: __/__/__

9. Please assess each of the following in terms of their impact on your project. Please use a scale of 1 to 5, where 1 is positive impact and 5 is negative impact.

	ASSESSMENT				
AREA	Positive				Negative
Quality of technical assistance provided by regional library program officer	1 23	2 20	3 39	4 6	5 10
Quality of project monitoring activities by regional library program officer	1 19	2 20	3 50	4 2	5 9
Quality of dissemination activities at the Federal level.	1 6	2 12	3 42	4 21	5 17
Quality of needs assessment at the State level	1 22	2 46	3 23	4 6	5 2
Quality of objectives and priorities defined at the State level.	1 30	2 45	3 20	4 4	5 1
Appropriateness of criteria for allocating LSCA III funds by the State	1 34	2 32	3 26	4 3	5 4
Overall impact of LSCA III projects on library services in your State	1 40	2 43	3 16	4 0	5 1

10a. The following is a list of methods most commonly used to evaluate LSCA III projects. Which of these methods was used by you and in which month and year it was last used. For each method you have used, please rate its usefulness in evaluating your project.

METHODS	USED Yes	USED No	When Last Used	USEFULNESS (complete only for those marked "yes") Very Useful				Very Useless
Formal surveys of operations at member libraries	^{1}29	^{2}80	(mo) (yr)	^{1}11	^{2}4	^{3}7	^{4}4	^{5}1
Formal surveys of users of the service	^{1}26	^{2}83	(mo) (yr)	^{1}7	^{2}7	^{3}8	^{4}0	^{5}0
Informal feedback from library personnel participating in project activities	^{1}89	^{2}20	(mo) (yr)	^{1}39	^{2}27	^{3}12	^{4}3	^{5}0
Informal feedback from the ultimate users of services	^{1}60	^{2}47	(mo) (yr)	^{1}25	^{2}17	^{3}9	^{4}4	^{5}0
Analyses of cost and usage statistics	^{1}50	^{2}59	(mo) (yr)	^{1}24	^{2}13	^{3}3	^{4}1	^{5}0
Systems analyses (i.e., work flow, cost effectiveness trade offs)	^{1}23	^{2}86	(mo) (yr)	^{1}7	^{2}7	^{3}3	^{4}1	^{5}0
Analysis of circulation records of project related materials	^{1}26	^{2}83	(mo) (yr)	^{1}14	^{2}6	^{3}3	^{4}0	^{5}0
[illegible] ords of [illegible] of people having access to project services	^{1}28	^{2}80	(mo) (yr)	^{1}15	^{2}8	^{3}2	^{4}0	^{5}0
Analysis of records of number of people using project services	^{1}34	^{2}75	(mo) (yr)	^{1}12	^{2}14	^{3}3	^{4}0	^{5}0
Analysis of records of requests for project related materials or information	^{1}41	^{2}68	(mo) (yr)	^{1}16	^{2}12	^{3}5	^{4}1	^{5}0
Official meetings with members of target population	^{1}22	^{2}86	(mo) (yr)	^{1}4	^{2}4	^{3}0	^{4}1	^{5}0
Other (specify)	^{1}11	^{2}90	(mo) (yr)	^{1}4	^{2}1	^{3}0	^{4}1	^{5}0

10b. How frequently does the State conduct evaluations of LSCA III projects?

Once every _____ months on a *formal* basis

Once every _____ months on an *informal* basis N/A

10c. Who is primarily responsible for conducting evaluations of your LSCA III project?

	Yes	No
LSCA III project staff	148	254
State library agency personnel . .	189	215
Outside evaluators	113	287
Other (*specify*)	114	287

____

PART II: LSCA III POLICY ISSUES

11. To what extent has USOE involved the library community in defining USOE's role in library network activities? *(Circle the number corresponding to your single best answer)*

Library community has been ignored	1	13
Library community has only token involvement	2	16
Library community has had some say	3	36
Library community has played a major role	4	6
My knowledge of USOE activities is limited and I cannot respond to this question	5	38

12a. LSCA III funds are sometimes used to join existing cooperatives or networks. Do you think this is an effective use of Federal funds?

YES *(go to question 13b*	1	103
NO *(go to question 13c*	2	5

12b. For each of the following reasons why use of Federal funds to join existing cooperatives or networks is effective, please indicate whether it applies to you.

	Yes		No	
State restrictions make it difficult to use State funds for this purpose	1	53	2	50
Availability of Federal funds acts as an incentive for joining existing cooperatives or networks	1	87	2	16
State does not perceive its role as one of sponsoring networking	1	28	2	75
State has not recognized a need for networking	1	17	2	86
Other *(specify)* . . . . ________________________	1	10	2	93
Other *(specify)* . . . . ________________________	1	1	2	102

12c. For each of the following reasons why use of Federal funds to join existing cooperatives or networks is ineffective, please indicate whether it applies to you.

	Yes	No
Better to use State funds for this purpose	1 3	2 2
Should use Federal funds for developing new cooperative or network projects that are needed	1 4	2 1
Other (*specify*) . . . . ________________________________	1 1	2 4
Other (*specify*) . . . . ________________________________	1	2 1

13a. LSCA III funds are distributed on a non-matching basis. Are you satisfied with this formula?

YES 1 84

NO 2 24

13b. Why? N/A

14. What changes, if any, would you like to see in the funding formula?

CHANGES IN FUNDING FORMULA	Yes	No
That Federal funds received be matched equally by State funds	1 26	2 79
That Federal funds be overmatched by State funds	1 9	2 95
That local government agencies match LSCA III funds received from State	1 6	2 98
The amount of funds are made proportionate to interest in networking shown by State . .	1 32	2 71
Increase the basic amount of the Federal grant . . . . By how much? ________%	1 95	2 9
Other (*specify*) . . . . ________________________________	1 4	2 96
Other (*specify*) . . . . ________________________________	1 2	2 98

15. If the amount of Federal LSCA III funds received by your State were tripled, how would you use the funds? (*Circle only those which apply*)

	Yes	No
For more activities similar to those currently funded	180	2 20
To accelerate the current program in order to achieve its objectives more quickly	178	2 27
To reach more libraries with existing services . . .	175	2 26
For new activities that cannot be engaged in now because of lack of funds (*Please specify what these activities might be*)	191	2 15
For more TWX terminals	137	2 63
For more computer terminals	151	2 45
Other (*specify*)	123	2 74

16. If these funds were tripled, a minimum of how many months would be required to prepare for their use?

N/A Months

17. What are two principal strengths and two principal shortcomings of LSCA III as it now stands?

Strentghs (1) See Chapter 11

(2)

Weaknesses (1)

(2)

18. To what extent would networks and cooperative projects have developed in this State without Federal support in the form of LSCA III funds?

Projects would have been more extensive 1 3

Projects would have developed the same as now 2 7

Projects would have been less extensive 3 63

Projects would not have been started 4 32

Other (*record*) 5 1

____

19. If there are comments you would like to make about the impact of LSCA III funds and future directions you think the Federal government should take with regard to library cooperative and network projects as a means of providing library and information services, please use the space provided to convey them.

N/A

We request that you forward along with this questionnaire, copies of your project plan, any promotional materials you may have produced, and any summary or analytical reports you have written about the project. Any materials you send -- other than journal articles, formal reports, and promotional materials -- will be treated as confidential. The contents will not be linked to your project.

If you have any additional comments about the issues raised in this questionnaire or the study itself, please use the back of this page to convey them to us.

Thank you for completing this questionnaire.

APPENDIX C.3

INSTRUMENTS FOR LSCA III CASE STUDIES

L	S	A		

OMB No. 51-S77019
Expires: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS, AND DEMONSTRATION PROJECTS

INTERVIEW GUIDE: CHIEF STATE LIBRARY OFFICER, LSCA III

Respondents Name: ____________________

Respondents Title: ____________________

Respondents Address: ____________________
____
____

Time and Date of Interview: ___:___ (Time) ___/___/___ (Date)

Interviewer: ____________________

Interviewer: Read the following statement to the respondent before asking any questions contained in this instrument.

THIS STUDY IS AUTHORIZED BY LAW (20 USC 1226). WHILE YOU ARE NOT REQUIRED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THIS SURVEY COMPREHENSIVE, ACCURATE, AND TIMELY.

BEFORE WE BEGIN, IF AT ANY TIME YOU DO NOT FULLY UNDERSTAND A PARTICULAR TERM, I WILL PROVIDE A DEFINITION USING THE GLOSSARY DEVELOPED FOR THIS STUDY.

PART 1: IMPACT OF LSCA III

1a. To what extent have projects funded with LSCA III funds contributed to the accomplishment of the overall objectives of the State Library Agency?

Not as well as expected	1
As expected	2
Better than expected	3

1b. Please explain: ______________________________

____

____

____

____

____

2. To what extent would networks and cooperative projects have developed in this State without Federal support in the form of LSCA III funds?

Projects would have been more extensive	1
Projects would have developed the same as now	2
Projects would have been less extensive	3
Projects would not have been started	4
Other (*record*)	5

____

PART 2: FINANCIAL

3a. For each of the following funding sources, how far ahead can you realistically plan for use of their funds for library projects? *(Read List)*

	MAXIMUM PLANNING PERIOD			
FUNDING SOURCE	Current Year Only	Next Year	2-3 Years In Advance	4-5 Years In Advance
LSCA III	1	2	3	4
LSCA I	1	2	3	4
State	1	2	3	4
Local	1	2	3	4
Other Federal *(record)* ____________	1	2	3	4
Other *(record)* . . . ____________	1	2	3	4

3b. What impact does the predictability of the availability of Federal funding have on network development?

____

____

____

4a. Who is involved in the preparation of the budget for LSCA III projects in this State?

	Yes	No
Head of State Library Agency	1	2
Assistant State Librarian	1	2
State LSCA III Coordinator	1	2
LSCA III Project Director(s) . . .	1	2
Other *(record)* . . . . ____________	1	2

4b. In contrast to other library programs, how adequate is the mechanism by which the budget is prepared?

Very adequate	1
Adequate	2
Inadequate	3
Very inadequate	4

4c. Are there any persons not currently involved in preparing the budget who should be involved?

	Yes	No
LSCA III Coordinator	1	2
Advisory Council	1	2
Project Directors	1	2
Other (*record*)	1	2

____

4d. Within the State, who has the final authority to approve the budget for LSCA III projects?

The Governor	1
Secretary of State	2
State legislature	3
Chief State School Officer	4
State Librarian	5
Other (*record*)	6

____

5a. On a scale of 1 to 5, where 1 is very adequate and 5 is very inadequate, please rate the adequacy of funding provided during Fiscal Year 1976, for cooperative and networking projects in your State. (*Read list*)

	ADEQUACY				
LEVEL OF GOVERNMENT	Very Adequate				Very Inadequate
Federal level	1	2	3	4	5
State level	1	2	3	4	5
Local level	1	2	3	4	5

5b. In general, how adequate was the total funding support during Fiscal Year 1976 for LSCA III projects in this State given the objectives of your program?

Extremely adequate 1

Very Adequate 2

Adequate 3

Inadequate 4

Very Inadequate. 5

6. For the overall development of interlibrary cooperation and networking in your State, what changes in funding levels should be assumed at the Federal, State, and local government levels?

Should the Federal government share of funding be:

Increased, or 1

Decreased, or 2

Remain unchanged. 3

And, what proportion of the total funding should the Federal government undertake __________%

Should the State government share of funding be:

Increased, or 1

Decreased, or 2

Remain unchanged. 3

And, what proportion of the total funding should the State government undertake __________%

Should local government share of funding be:

Increased, or 1

Decreased, or 2

Remain unchanged. 3

And, what proportion of the total funding should local government undertake __________%

7. Are there comments you would like to make about the impact of LSCA III funds and future directions you think the Federal government should take with regard to library cooperative and network projects as a means of providing library and information services.

____

____

____

____

____

Thank you.

L	S	B		

OMB NO. 51-S77019
EXPIRES: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS, AND DEMONSTRATION PROJECTS

INTERVIEW GUIDE: LSCA III STATE COORDINATOR

Respondent's Name: ______________________________

Respondent's Title: ______________________________

Respondent's Address: ______________________________
____
____

Time and Date of Interview: ___:___ (Time) ___/___/___ (Date)

Interviewer: ______________________________

Interviewer: Read the following statement to the respondent before asking any questions contained in this instrument.

THIS STUDY IS AUTHORIZED BY LAW (20 USC 1226). WHILE YOU ARE NOT REQUIRED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THIS SURVEY COMPREHENSIVE, ACCURATE, AND TIMELY.

BEFORE WE BEGIN, IF AT ANY TIME YOU DO NOT FULLY UNDERSTAND A PARTICULAR TERM, I WILL PROVIDE A DEFINITION USING THE GLOSSARY DEVELOPED FOR THIS STUDY.

PART I: PROJECT MANAGEMENT

1. What budgetary controls are utilized by the State to monitor the expenditures of the LSCA III project? How frequently is each used?

BUDGETORY CONTROL METHOD	RATE OF USE
Review by LSCA III Advisory Council	Once every ________ months
Review and approval by State legislature . .	Once every ________ months
Review and approval by State Comptrollers Office	Once every ________ months
Review and approval by the Head of the State Library Agency	Once every ________ months
Other (*record*)	Once every ________ months

____

2a. The following is a list of methods most commonly used to evaluate LSCA III projects. Which of these methods was used by you and the month and year it was last used. For each method you have used, please rate its usefulness in evaluating your project.

USEFULNESS

(complete only for those marked "yes")

METHODS	USED		When Last Used	USEFULNESS				
	Yes	No		Very Useful				Very Useless
Formal surveys of operations at member libraries	1	2	(mo) (yr)	1	2	3	4	5
Formal surveys of users of the service	1	2	(mo) (yr)	1	2	3	4	5
Informal feedback from library personnel participating in project activities	1	2	(mo) (yr)	1	2	3	4	5
Informal feedback from the ultimate users of services	1	2	(mo) (yr)	1	2	3	4	5
Analyses of cost and usage statistics	1	2	(mo) (yr)	1	2	3	4	5
Systems analyses (i.e., work flow, cost effectiveness trade offs)	1	2	(mo) (yr)	1	2	3	4	5
Analysis of circulation records of project related materials	1	2	(mo) (yr)	1	2	3	4	5
Analysis of records of number of people having access to project services	1	2	(mo) (yr)	1	2	3	4	5
Analysis of records of number of people using project services	1	2	(mo) (yr)	1	2	3	4	5
Analysis of records of requests for project related materials or information	1	2	(mo) (yr)	1	2	3	4	5
Official meetings with members of target population	1	2	(mo) (yr)	1	2	3	4	5
Other *(specify)* ______	1	2	(mo) (yr)	1	2	3	4	5

2b. How frequently does the State conduct evaluations of LSCA III projects?

Once every _______ months on a *formal* basis

Once every _______ months on an *informal* basis

2c. Who is primarily responsible for conducting evaluations of LSCA III projects?

	Yes	No
LSCA III project staff	1	2
State library agency personnel	1	2
Outside evaluators	1	2
Other (*record*)	1	2

____

PART 2: ROLE OF THE LSCA ADVISORY COUNCIL AND STATE LIBRARY PERSONNEL IN LSCA III

3a. What is the role of the Advisory Council relative to LSCA III projects? Please indicate on a scale of 1 to 5, where 1 is highly significant and 5 is highly insignificant, the council's impact on each of these activities it participates in.

			SIGNIFICANCE				
ACTIVITY	Yes	No	Highly Significant				Highly Insignificant
Assists in review of proposals . . .	1	2	1	2	3	4	5
Assists in selection of proposals	1	2	1	2	3	4	5
Recommends policy	1	2	1	2	3	4	5
Advises on budget matters	1	2	1	2	3	4	5
Advises on development of State plan	1	2	1	2	3	4	5
Assists in evaluating LSCA III programs, plans, and activities . .	1	2	1	2	3	4	5
Other (*record*)	1	2	1	2	3	4	5

3b. How often did the Advisory Council meet in 1976?

_______ times

4. What State library personnel are actively involved with LSCA III projects as managers, reviewers, planners, etc.? What percent of their time is spent in this involvement?

POSITION	ESTIMATED PERCENT OF TIME IN AN AVERAGE MONTH
Head of State Library Agency .	_____%
Assistant State Librarian	_____%
LSCA Coordinator	_____%
LSCA III Coordinator	_____%
Other (*record*) . . . . ____________________	_____%
Other (*record*) . . . . ____________________	_____%
Other (*record*) . . . . ____________________	_____%

PART 3: TECHNICAL ASSISTANCE PROVIDED BY USOE THROUGH THE REGIONAL PROGRAM OFFICERS

5a. How often are each of the following types of assistance provided to this State by USOE in connection with your LSCA III projects? On a scale of 1 to 5, where 1 is very useful and 5 is very unuseful, please rate the usefulness of each type of assistance USOE provides.

			USEFULNESS				
METHOD	Yes	No	Very Useful				Very Unuseful
Review and feedback on written reports	1	2	1	2	3	4	5
Site visits to projects . . .	1	2	1	2	3	4	5
Citations from literature passed on to projects	1	2	1	2	3	4	5
Brainstorming sessions . . .	1	2	1	2	3	4	5
Project management review . .	1	2	1	2	3	4	5
Other *(record)*	1	2	1	2	3	4	5

____

5b. Has this assistance resulted in any changes in the project?

YES *(go to question 5c)* . . . 1

NO *(go to question 6)* 2

5c. If yes, what changes have resulted?

	Yes	No
Changes in objectives	1	2
Changes in project methodology . .	1	2
Changes in procedures	1	2
Changes in scope	1	2
Changes in project activities . . .	1	2
Other *(record)*	1	2

____

5d. Please describe these changes: ______________________________

____

____

____

PART 4: LSCA III PROJECTS

(Interviewer: Complete this section of questions for each of the LSCA III projects currently being funded)

Is this the correct name of the LSCA III project?

6a. How successful was the project:

Very successful 1

Somewhat successful 2

Not successful 3

6b. What are the reasons for its success or lack of success?

6c. Are there any library personnel in this State whose appraisal might differ from yours?

YES 1

NO 2

If yes, how does each person's appraisal differ from yours?

(1)

(2)

(3)

7. How important was this project in your State's overall efforts toward interlibrary cooperation and networking development?

Project is the primary focus of State's effort 1

Project complements other State supported efforts . . . 2

Other *(record)* 3

8a. Has there been a need to change or otherwise modify this project in order to improve it?

YES 1

NO (*go to question 9*). 2

8b. What types of changes have been made or are planned for this project? On a scale of 1 to 5, where 1 is very important and 5 is not important, how important was each change to the success of this project?

	CHANGES MADE		CHANGES PLANNED		IMPORTANCE				
CHANGE	Yes	No	Yes	No	Very Important				Not Important
Change the scope of the project	1	2	1	2	1	2	3	4	5
Change the objectives .	1	2	1	2	1	2	3	4	5
Change the activities .	1	2	1	2	1	2	3	4	5
Change evaluation procedures	1	2	1	2	1	2	3	4	5
Change project staff .	1	2	1	2	1	2	3	4	5
Change in scheduling .	1	2	1	2	1	2	3	4	5
Change in funding . . .	1	2	1	2	1	2	3	4	5
Other (*record*)	1	2	1	2	1	2	3	4	5

8c. What barriers or obstacles have been encountered in making these changes?

BARRIERS	Yes	No
Realized the need for changes too late	1	2
Lack of funds	1	2
Lack of staff	1	2
Lack of member library cooperation	1	2
Resistance to change	1	2
Other (*record*)	1	2

9a. How do the LSCA III projects report to the State Library agency? How frequently is each used?

METHOD	Yes	No	RATE OF USE
Meetings	1	2	Once every ________months
Written Reports. . . .	1	2	Once every ________months
Formal Oral Reports	1	2	Once every ________months
Informal Oral Reports	1	2	Once every ________months
Other (*record*)	1	2	Once every ________months

____

9b. Of those methods used, please rate their usefulness on a scale of 1 to 5, where 1 is very useful and 5 is very unuseful.

	USEFULNESS				
METHOD	Very Useful				Very Unuseful
Meetings	1	2	3	4	5
Written Reports.	1	2	3	4	5
Formal Oral Reports. . . .	1	2	3	4	5
Informal Oral Reports. . .	1	2	3	4	5
Other (*record*)	1	2	3	4	5

10. Please indicate whether or not each of the following persons had primary or secondary involvement in the monitoring of this project. (*Read List*)

	MONITORING ROLE		
POSITION	Primary Responsibility	Secondary Responsibility	Not Involved
Federal LSCA III Coordinator	1	2	3
U.S. Office of Education Regional Library Program Officer	1	2	3
Chief Officer of State Library Agency	1	2	3
State LSCA III Coordinator	1	2	3
Other (*record*)	1	2	3

____

11. What changes, if any, in the following areas of this project's relationship to the State Library Agency were made during the project? *(Read list)*

	CHANGE			
AREA	Increase	Decrease	Eliminate	No Change
Number of written reports	1	2	3	4
Number of oral reports	1	2	3	4
Number of meetings	1	2	3	4
Amount of control by State library agency	1	2	3	4
Amount of assistance given to project through State	1	2	3	4
Other *(record)*	1	2	3	4

12a. How frequently were the following types of dissemination activities carried out for this project? *(Read list)*

DISSEMINATION ACTIVITY	Monthly or More Often	Yearly	Every 2-3 Years	Every 3-5 Years	Never
Journal articles	1	2	3	4	5
Papers presented at conferences	1	2	3	4	5
Commercial publication . .	1	2	3	4	5
Publications of the State Library Agency	1	2	3	4	5
Newsletters	1	2	3	4	5
Dissemination through OLLR	1	2	3	4	5
Dissemination through ERIC	1	2	3	4	5
Other *(record)*	1	2	3	4	5

12b. Who was primarily responsible for dissemination?

State library staff	1
Project staff	2
Other *(record)*.	3

13. Are there comments you would like to make about the impact of LSCA III funds and future directions you think the Federal government should take with regard to library cooperative and network projects as a means of providing library and information services?

Thank you.

L	6	A		

OMB No. 51-S77019
Expires: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS, AND DEMONSTRATION PROJECTS

INTERVIEW GUIDE: LSCA III PROJECT DIRECTOR

Project Name: ______________________________

Respondent's Name: ______________________________
Respondent's Title: ______________________________
Respondent's Address: ______________________________
____
____

Time and Date of Interview: ___:___ (Time) ___/___/___ (Date)

Interviewer: ______________________________

Interviewer: Read the following statement to the respondent before asking any questions contained in this instrument.

THIS STUDY IS AUTHORIZED BY LAW (20 USC 1226). WHILE YOU ARE NOT REQUIRED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THIS SURVEY COMPREHENSIVE, ACCURATE, AND TIMELY.

BEFORE WE BEGIN, IF AT ANY TIME YOU DO NOT FULLY UNDERSTAND A PARTICULAR TERM, I WILL PROVIDE A DEFINITION USING THE GLOSSARY DEVELOPED FOR THIS STUDY.

PART 1: PROJECT RELATIONS WITH THE STATE LIBRARY AGENCY

1. Please indicate whether or not each of the following persons have primary or secondary involvement in the monitoring of this project. *(Read list)*

	MONITORING ROLE		
POSITION	Primary Responsibility	Secondary Responsibility	Not Involved
Federal LSCA III Coordinator	1	2	3
U.S. Office of Education Regional Library Program Officer	1	2	3
Head of State Library Agency	1	2	3
State LSCA III Coordinator	1	2	3
Other *(record)*	1	2	3

____

2a. Has there been a need to change or otherwise modifiy this project in order to improve it?

YES 1

NO *(go to question 3)* . 2

2b. What types of changes have been made or are planned for this project? On a scale of 1 to 5, where 1 is very important and 5 is not important, how important was each change to the success of this project?

	CHANGES MADE		CHANGES PLANNED		IMPORTANCE				
CHANGE	Yes	No	Yes	No	Very Important				Not Important
Change the scope of the project	1	2	1	2	1	2	3	4	5
Change the objectives .	1	2	1	2	1	2	3	4	5
Change the activities .	1	2	1	2	1	2	3	4	5
Change evaluation procedures	1	2	1	2	1	2	3	4	5
Change project staff .	1	2	1	2	1	2	3	4	5
Change in scheduling .	1	2	1	2	1	2	3	4	5
Change in funding . . .	1	2	1	2	1	2	3	4	5
Change in products. . .	1	2	1	2	1	2	3	4	5
Change in communication and reporting	1	2	1	2	1	2	3	4	5
Other *(record)*.	1	2	1	2	1	2	3	4	5

____

3. How often are each of the following reporting methods used by this LSCA III project to report to the State Library agency? On a scale of 1 to 5, where 1 is very useful and 5 is very useless, please rate the usefulness of each of your reporting methods from your projects' perspective. [*Read List*]

		USEFULNESS				
METHOD	RATE OF USE	Very Useful				Very Useless
Meetings	Once every _____ months	1	2	3	4	5
Written Reports .	Once every _____ months	1	2	3	4	5
Formal Oral Reports	Once every _____ months	1	2	3	4	5
Informal Oral Reports	Once every _____ months	1	2	3	4	5
Other [*record*] . .	Once every _____ months	1	2	3	4	5

____

4. What changes, if any, would you like to see in the States' management of your LSCA III project?

	CHANGE			
AREA	Increase	Decrease	Eliminate	No Change
Number of written reports	1	2	3	4
Number of oral reports	1	2	3	4
Number of meetings	1	2	3	4
Amount of control by State library agency	1	2	3	4
Amount of assistance given to project through State	1	2	3	4
Other [*record*]	1	2	3	4

____

5. What is your general assessment of the quality of this project's relationship with the State Library Agency?

Excellent 1
Good 2
Fair 3
Poor 4
Very poor 5

Please explain: ____

____

____

PART 2: PROJECT ADVISORY PANEL

6a. Does this project have an advisory panel or council?

YES	1
NO *(go to question 7a)*	2

6b. What is the primary role of your projects' advisory panel?

ROLE	Yes	No
Provide advice on technical issues	1	2
Review and approve documents and programs	1	2
Provide a means of establishing linkages with the library community in your State	1	2
Other *(record)*	1	2

____

6c. What is your general assessment of the quality of the relationship between the project and the advisory panel?

Excellent	1
Good	2
Fair	3
Poor	4
Very Poor	5

Please explain: ______________________________

PART 3: RELATIONSHIPS WITH OTHER LIBRARY NETWORKS OR COOPERATIVE PROJECTS

7a. Does this project have any formal agreements with other cooperative projects or networks?

YES 1

NO *(go to question 8)* . . . 2

If yes, please list the names and cost of membership associated with being affiliated with these other networks:

NAME OF NETWORK	ANNUAL COST TO YOUR PROJECT	ANNUAL COST TO NETWORK
1. ______________________	$__________	$__________
2. ______________________	$__________	$__________
3. ______________________	$__________	$__________

7b. What types of cooperative activities do you engage in with these networks?

COOPERATIVE ACTIVITIES	Yes	No
Provide services	1	2
Receive services	1	2
Attend problem oriented meetings .	1	2
Joint projects	1	2
Joint planning activities	1	2
Site visits	1	2
Informal communications	1	2
Advisory board meetings	1	2
Other *(record)*	1	2

____

PART 4: USER DATA

8a. How many of each of the following types of libraries are currently involved in this project? If this number has increased or decreased since the project began, what is the approximate size of that change (percent)? *(Read list)*

LIBRARY TYPE	NUMBER PARTICIPATING	PERCENTAGE INCREASE	PERCENTAGE DECREASE
Academic	________	____%	____%
Special	________	____%	____%
Public	________	____%	____%
School	________	____%	____%
Other *(Record)*	________	____%	____%

____

8b. If major changes in the numbers of participating libraries have occured, please explain why.

____

____

____

____

8c. Does your project focus on the development of interlibrary cooperation at the individual library or regional level?

Individual libraries 1

Regional level 2

Both 3

Other *(record)* 4

____

PART 5: PROJECT EVALUATION

9a. Does the project solicit participant feedback?

YES 1

NO *(go to question 10a)* . . . 2

9b. If yes, have participants' assessments of the project been favorable or critical of the appropriateness of your project and its adequacy in meeting their needs?

EVALUATION AREA	Favorable	Critical
Adequacy of project	1	2
Appropriateness of project .	1	2

9c. Please explain: ____

____

____

____

10a. How successful has this project been in reaching its objectives?

Very successful 1

Somewhat successful 2

Somewhat unsuccessful 3

Very unsuccessful 4

10b. Please explain: ____

____

____

____

PART 6: PROJECT FUNDING

11a. Are any funding changes planned for this LSCA III project?

YES 1

NO (*go to question 12*) . 2

11b. *If yes*, what changes in funding are planned for each source, when will it begin, and what is the change in funding level and is this a temporary or long-range change?

FUNDING CHANGE	DATE CHANGE IS TO BEGIN	AMOUNT OF CHANGE		DURATION	
		Previous Amount	Planned Amount	Temporary	Long-Range
Change in Federal funds	__/__/__	$______	$______	1	2
Change in State funds	__/__/__	$______	$______	1	2
Change in local funds	__/__/__	$______	$______	1	2
Other (*record*)	__/__/__	$______	$______	1	2

____

____

12. If unlimited project funds were made available to you, what changes would you make in this project?

____

____

____

____

____

____

13. What advice would you give to someone planning to start a similar project?

____

____

____

____

____

____

14. Are there comments you would like to make about the impact of LSCA III funds and future directions you think the Federal government should take with regard to library cooperative and network projects as a means of providing library and information services?

____

____

____

____

____

Thank you.

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OMB NO. 51-S77019
EXPIRES: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS, AND DEMONSTRATION PROJECTS

INTERVIEW GUIDE: HEAD LIBRARIAN: LIBRARY PARTICIPATING IN LSCA III NETWORK

Project Name: ______________________________

Respondent's Name: ______________________________

Respondent's Title: ______________________________

Respondent's Address: ______________________________

____

____

Time and Date of Interview: ___:___ (Time) ___/___/___ (Date)

Interviewer: ______________________________

Interviewer: Read the following statement to the respondent before asking any questions contained in this instrument.

THIS STUDY IS AUTHORIZED BY LAW (20 USC 1226). WHILE YOU ARE NOT REQUIRED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THIS SURVEY COMPREHENSIVE, ACCURATE, AND TIMELY.

BEFORE WE BEGIN, IF AT ANY TIME YOU DO NOT FULLY UNDERSTAND A PARTICULAR TERM, I WILL PROVIDE A DEFINITION USING THE GLOSSARY DEVELOPED FOR THIS STUDY.

PART 1: LSCA III PROJECT QUESTIONS

1a. Which of the following services do you receive from the LSCA III project? For each service you receive, on a scale of 1 to 5, where 1 is very satisfied and 5 is very dissatisfied, how satisfied are you with each service?

	SERVICES CURRENTLY RECEIVED							SERVICE PLANNED	
COOPERATIVE SERVICE OR ACTIVITY	Yes	No	Very Satisfied			Very Dissatisfied		Yes	No
Acquisition and selection of library materials	1	2	1	2	3	4	5	1	2
Purchasing of supplies and equipment	1	2	1	2	3	4	5	1	2
Cataloguing	1	2	1	2	3	4	5	1	2
Preparation of union catalogs and lists	1	2	1	2	3	4	5	1	2
Reference services	1	2	1	2	3	4	5	1	2
Delivery services	1	2	1	2	3	4	5	1	2
Reciprocal-borowing privileges	1	2	1	2	3	4	5	1	2
Routing of interlibrary loan requests	1	2	1	2	3	4	5	1	2
Planning	1	2	1	2	3	4	5	1	2
Warehousing	1	2	1	2	3	4	5	1	2
Continuing education and training	1	2	1	2	3	4	5	1	2
Research and development	1	2	1	2	3	4	5	1	2
Public relations and publicity	1	2	1	2	3	4	5	1	2
Sharing and exchange of equipment	1	2	1	2	3	4	5	1	2
Telecommunications	1	2	1	2	3	4	5	1	2
Depositories	1	2	1	2	3	4	5	1	2
Clearinghouses	1	2	1	2	3	4	5	1	2
Learning/Resource	1	2	1	2	3	4	5	1	2
Participation in Inter-State Networks	1	2	1	2	3	4	5	1	2
Other (*record*)	1	2	1	2	3	4	5	1	2

1b. For each service that is not satisfactory, why is this service not satisfactory and how can it be improved?

2a. Are you satisfied with your library's current relationship with the LSCA III project?

YES (*go to question 3a*) . . . 1
NO 2

2b. What changes are needed?

(1) ______________________________
____
(2) ______________________________
____
(3) ______________________________
____

3a. What impact has the LSCA III project had upon your patrons?

IMPACT	Yes	No
Project-related services are used extensively by patrons	1	2
Project-related services are used repeatedly by same patrons	1	2
Patrons have expressed satisfaction with project services	1	2
Project is not directed toward patrons and has no impact on them	1	2
Other (*record*)	1	2

____

3b. Is this impact documented in reports?

YES 1
NO 2

If yes, may we have copies of these reports?

4a. Based on past experience, is there a need for changes in the project?

YES 1

NO (*go to question 5*) . . 2

CHANGES	Yes	No
Changes in scope of project	1	2
Changes in objectives	1	2
Changes in activities	1	2
Changes in evaluation procedures . .	1	2
Changes in project staff	1	2
Changes in scheduling	1	2
Changes in funding	1	2
Changes in products	1	2
Changes in communications and reporting	1	2
Other (*record*)	1	2

____

4b. Please explain why these changes are necessary.

____

____

____

____

____

____

5. What are the advantages and disadvantages of being a member of this LSCA III project?

____

____

____

____

____

____

6. What was your commitment to this project in terms of staffing, financial or other resources for Fiscal Year 1976 (July 1, 1975 through June 30, 1976)? How long will this commitment last? *(Record)*

	FY 1976	Length of Commitment
Direct Funding		
Staff Working on Project Activities . . .		
In-Kind Contributions of materials and facilities		

7a. Would you continue to use this service if LSCA III funds were discontinued and you had to pay for the service?

YES 1

NO 2

7b. Please explain: ______________________________

8a. Do the resources of large participating libraries tend to be over-used in the network?

YES 1

NO 2

8b. If yes, have any means been developed to deal with this problem?

YES 1

NO 2

8c. If yes, briefly describe them and how well each has worked in solving this problem. *(Record)*

9. Are there comments you would like to make about the impact of LSCA III funds and future directions you think the Federal government should take with regard to library cooperative and network projects as a means of providing library and information services?

Thank you.

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OMB NO. 51-S77019
EXPIRES: 01/31/78

A STUDY OF LIBRARY COOPERATIVES, NETWORKS AND DEMONSTRATION PROJECTS

TELEPHONE INTERVIEW GUIDE: HEAD LIBRARIANS OF NON PARTICIPATING LIBRARIES

Project Name:________________________________

Time Call Placed: ___:____ A.M. P.M.

WATS. 1
Direct. 2

Number Called ____________________

Respondent's Name:____________________________

Respondent's Title:___________________________

Library Type:

Academic:	University	1
	College	2
	Community College	3
Public:	Urban	4
	Suburban	5
	Rural	6
Special.		7
School		8

Time Call Ended: ___:____ A.M. P.M.

Date of Interview: ___/___/___

Interviewer: ________________________________

GOOD (MORNING/AFTERNOON), MY NAME IS ____________________, AND I REPRESENT APPLIED MANAGEMENT SCIENCES OF SILVER SPRING, MARYLAND. WE ARE UNDER CONTRACT TO THE U.S. OFFICE OF EDUCATION TO CONDUCT A STUDY OF LIBRARY COOPERATIVES, NETWORKS, AND DEMONSTRATION PROJECTS. THIS STUDY IS CONCERNED WITH TWO PROGRAMS. ONE IS FUNDED UNDER THE AUTHORITY OF TITLE III, LIBRARY SERVICES AND CONSTRUCTION ACT (LSCA). THE OTHER PROGRAM IS FUNDED UNDER THE AUTHORITY OF THE RESEARCH AND DEMONSTRATION COMPONENT OF TITLE II-B, HIGHER EDUCATION ACT (HEA).

I WOULD LIKE TO SPEND THE NEXT 15 MINUTES ALSO DISCUSSING THE (TITLE OF PROJECT) BEING CONDUCTED IN YOUR STATE THAT HAS RECEIVED FUNDS FROM THE LSCA III PROGRAM. WE REALIZE THAT YOUR LIBRARY DOES NOT PARTICIPATE IN THAT NETWORK. (IS THIS TIME CONVENIENT? IF IT IS NOT, WHEN WOULD IT BE CONVENIENT? ARRANGE APPOINTMENT.)

PROJECT TITLE: ____

Interviewer: Read the following statement to the respondent before asking any questions contained in this instrument.

THIS STUDY IS AUTHORIZED BY LAW (20 USC 1226). WHILE YOU ARE NOT REQURIED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THIS STUDY COMPREHENSIVE, ACCURATE, AND TIMELY.

BEFORE WE BEGIN, IF AT ANY TIME YOU DO NOT FULLY UNDERSTAND A PARTICULAR TERM, I WILL PROVIDE A DEFINITION USING THE GLOSSARY DEVELOPED FOR THIS STUDY.

PART 1: LSCA III PROJECT

1. Are you aware of: [*Read name of project*]?

YES. 1

NO . . . . 2 (Terminate interview)

I would like to describe this project to you by reading its objectives.

[*Read objectives*]

Project Objectives: [*to be completed in advance*]

(1) ______________________________

(2) ______________________________

(3) ______________________________

(4) ______________________________

(5) ______________________________

(6) ______________________________

(7) ______________________________

(8) ______________________________

2a. How important is this project to the development of library cooperatives and networking in your state?

Very important 1

Important 2

Not very important 3

Unimportant 4

2b. Please explain your reasons for saying this:

____

____

____

____

3a. Is your library directly involved with this project?

YES [*go to question 3b*] . . 1

NO [*go to question 3d*] . . 2

3b. Please describe your librarys' involvement with this project. *(Obtain description and terminate interview)*

____

____

____

____

3c. Why hasn't your library participated in this LSCA III project?

____

____

____

____

3d. Have you attempted to join this LSCA III project in the past?

YES *(go to question 3e)* . . . 1
NO *(go to question 4a)* . . . 2

3e. When did you attempt to join this LSCA III project, and why were you unable to join?

____
(month/year)

____

____

____

____

4a. Would you like to become involved in this LSCA III project?

YES 1
NO *(go to question 4c)* . . 2

4b. If yes, which of the following types of involvement would you like to undertake? *(Read list)*

INVOLVEMENT	Yes	No
Receive services	1	2
Provide services to other participants .	1	2
Involvement in needs assessment	1	2
Involvement in objective definition . .	1	2
Involvement in review of objectives . .	1	2
Involvement in evaluation of the project	1	2
Other *(record)*	1	2

____

4c. If your library were to participate in this LSCA III project, how would it benefit your patrons?

____

____

____

____

5. How effective is the State Library Agency's control of the selection and funding of LSCA III projects in terms of their impact on patrons?

Highly effective	1
Somewhat effective	2
Not sure	3
Somewhat ineffective	4
Highly ineffective	5

6. Are there comments you would like to make about the impact of LSCA III funds and future directions you think the Federal government should take with regard to library cooperative and network projects as a means of providing library and information services?

Thank you.

APPENDIX D

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APPENDIX E

MEMBERS OF THE ADVISORY COMMITTEE

Mr. Donald V. Black
SDC Search Service
System Development Corporation
2500 Colorado Avenue
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APPENDIX F

SUMMARY CHARACTERISTICS OF HEA 11-B LIBRARY RESEARCH AND DEMONSTRATION PROJECTS FUNDED FROM 1971 THROUGH 1976

TABLE F: SUMMARY CHARACTERISTICS OF HEA II-B LIBRARY RESEARCH AND DEMONSTRATION PROJECTS FUNDED FROM 1971 THROUGH 1976

Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
	COMMUNITY RESOURCES			
1. A Community Cultural Arts Center Merging Public and School Library Services in Olney, Texas: A Research and Demonstration Project (North Texas State University)	James Kitchens	Community Learning Center	Multi-year (1972-1973)	$ 111,477
2. Planning Project for Community Learning Center (Washington State Library Agency)	Ruth H. Hamilton/ W. T. Miller	Community Learning Center	Multi-year (1972-1973)	64,990
3. Model for Combined Integrated Resources for Community Learning Experiment (CIRCLE) (Florissant Valley Community College)	Betty Duvall	Community Learning Center	Multi-year (1972-1974)	286,952
4. Nontraditional Study - The Public Library Approach (College Entrance Examination Board)	Jose O. Toro	Community Learning Center	Multi-year (1972-1975)	325,324
5. Performance Criteria for the Planning of Community Resource Centers - A Multi-purpose Concept (A.I.A. Research Corporation)	John P. Eberhard	Community Learning Center	Single Year (1974)	74,959
6. Interagency Planning for Student Library Resources in Philadelphia and Collaboration with an Inner City Community in Conducting and Evaluating a Student Library and Learning Center Demonstration (School District of Philadelphia)	John Q. Benford	Interagency Cooperation	Multi-year (1971-1974)	1,219,528
7. Cooperative Planning to Maximize Adult Basic Education Opportunities Through Public Library Extension in Appalachian North Carolina (Appalachian State University)	Mayrelee Newman	Interagency Cooperation	Multi-year (1972-1973)	59,834
8. Inter-relating of Library and Basic Education Services for Disadvantaged Adults: A Demonstration of working models (Morehead State University)	George W. Eyster	Interagency Cooperation	Multi-year (1972-1974)	627,533

TABLE F: (Continued)

	Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
		COMMUNITY RESOURCES (Continued)			
9.	Inter-Agency Cooperation (Chicago Public Library)	Kathleen Weibel	Interagency Cooperation	Single Year (1973)	$ 6,984
10.	A Collaborative Approach to Independent Study for Adults in Vermont: Public Libraries on the Adult Education Team (Vermont Community College of Montpelier)	Marian S. English	Interagency Cooperation	Single Year (1973)	22,165
11.	The Right to Read for Adults: An Investigation of the Library's Role in a Cooperative Venture with the Model Neighborhood Program (Monroe County Library System)	Kathlyn Adams	Neighborhood Information Center	Single Year (1972)	10,000
12.	Development and Demonstration of a Computer-Assisted Citizen Information Resource System to Enable Urban Residents to Make Maximum Use of Available Public Services (Administration and Management Research Association of New York City)	P. Finkelstein	Neighborhood Information Center	Single Year (1972)	49,925
13.	Neighborhood Information Center Project (Cleveland Public Library/Houston Public Library)	W. Curley/ D. Hennington	Neighborhood Information Center	Multi-year (1972-1974)	878,824
		NETWORKING			
14.	Operations Research Study of the Pacific Northwest Bibliographic Center (Washington State Library Agency)	David Taylor	Networking	Single Year (1971)	9,970
15.	The Development of a Computerized Regional Shared-Cataloging System (Ohio College Library Center)	Frederick Kilgour	Networking	Single Year (1971)	125,000

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TABLE F: (Continued)

Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
		NETWORKING (Continued)		
16. A Computer Based Interlibrary Loan Communications Subsystem (OCLC)	James Barrentine	Networking	Single Year (1975)	$ 108,875
17. Preparation of a Supplement to the Directory of Academic Library Consortia (System Development Corporation)	Diana Delaney	Networking	Single Year (1972)	23,975
18. Public Library in the Network Mode; A Researched Position Paper (Columbia University)	P. C. Lange	Networking	Single Year (1973)	8,000
19. Cooperative Venture Between the Ohio College Library Center and the Cooperative College Library for On-Line Technical Processing (Cooperative College Library Center)	Willis Davis	Networking	Single Year (1973)	30,000
20. Factors Affecting the Adaption of Academic and Other Libraries to On-Line Networks (INCOLSA)	Barbara Markuson	Networking	Multi-year (1973-1975)	43,803
21. Improving the Speed and Comprehensiveness of Interlibrary Access to Periodical Literature (Associated Colleges of the Midwest)	Blair Stewart	Networking	Single Year (1974)	50,000
22. A Proposal for Conducting Cost and Funding Studies Concerning Development and Implementation of a Western Interstate Bibliographic Network (WICHE)	Maryann Duggan/ Eleanor Montague	Networking	Multi-year (1975-1976)	124,135
23. Design and Testing of a Method to Reach Agreement for Responsibilities in Collection Building Among Libraries (Library Council of Greater Cleveland)	Dorothy Sinclair	Networking	Single Year (1976)	35,779

TABLE F: (Continued)

Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
		NETWORKING (Continued)		
24. Demonstration and Evaluation of the Effects of Incentives on Resource Sharing Using a Computerized Interlibrary Communications System (New England Board of Higher Education)	Ronald Miller	Networking	Multi-Year* (1976)	$ 75,953
25. Collection Development Analysis Using OCLC Archival Tapes (SUNY)	Glyn T. Evans	Networking	Multi-year (1976)	42,415
26. Virgin Islands Demonstration Library Network Study (Department of Conservation and Cultural Affairs)	Henry Chang	Networking	Multi-year (1976)	25,590
	TARGET GROUPS			
27. Increasing Library Use and Resources Within an Educational Consortium (Worcester Consortium for Higher Education)	Raymond DeBuse	Adult Education	Single Year (1974)	20,000
28. Project to Develop a Manual on Programming for Literacy (ALA)	Jean Coleman	Adult Education	Single Year (1975)	49,951
29. College Library Prototype Tutorial Program to Prepare Adults for CLEP Examinations (Immaculate Heart College)	Harriet Covey	Adult Education	Single Year (1975)	60,033
30. Librarian Client Learning Projects (University of Pittsburgh)	Patrick Penland	Adult Education	Multi-year (1975-1976)	81,876
31. Identification and Coordination of African-American Materials in Six States (North Carolina Central University)	Annette Phinazee	Black Americans	Multi-year (1971-1973)	157,942

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*Received funds for Fiscal Year 1977.

TABLE F: (Continued)

Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
TARGET GROUPS (Continued)				
32. Reinforcement of Black Cultural Museum Through the Development of Its Library Resources (Miriam B. Wilson Foundation)	Judith Chase	Black Americans	Multi-year (1974-1975)	$ 81,630
33. Early Childhood Creative Library (Yadkin Valley CAA)	Jimmie Hutchens	Black Americans	Multi-year (1974-1976)	80,394
34. Knowledge/Information Needs of the Disadvantaged (Drexel University)	Thomas Childers	Disadvantaged	Multi-year (1972-1974)	67,461
35. A Systems Analysis of Southwestern Spanish Speaking Users and Non-Users of Library and Information Services, Developing Criteria to Design an Optimal Library Model Concept (National Educational Resources Institute)	Joseph Reyes	Hispanic Americans	Single Year (1971)	104,200
36. Evaluation of the Impact, Costs and Benefits of the Albuquerque Model Cities Library (University of New Mexico)	Lee Zink	Hispanic Americans	Multi-year (1971-1972)	65,000
37. Proposal for the Establishment of Neighborhood Library Center in the Pilsen Community of Chicago (Chicago Public Library)	Henry Bates	Hispanic Americans	Single Year (1973)	50,000
38. El Centro de la Causa Library Project (Chicago Public Library)	Patricia Tarin	Hispanic Americans	Single Year (1974)	37,830
39. Relationship of Social Participation to Use of Media among Mexican-American Urban Poor (University of Wisconsin)	Margaret Monroe	Hispanic Americans	Single Year (1976)	18,002

TABLE F: (Continued)

Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
		TARGET GROUPS (Continued)		
40. Developing Library Programs to Meet Informational Needs in American Indian Communities (National Indian Education Association)	Will Antell/Lee Antell/Noah Allen/ Cheryl Matoyer	Native Americans	Multi-Year (1971-1976)	$ 917,787
41. Library Development, Wind River Reservation (Wind River Education Association)	Alfred Redman	Native Americans	Single Year (1974)	16,000
42. American Indian Community Library Demonstration Project (University of New Mexico)	Lotsee Smith	Native Americans	Multi-year (1975-1976)	198,900
43. National Survey of Library Services to the Aging (Cleveland Public Library)	Douglas Metz	Older Americans	Multi-year (1971-1972)	126,189
44. An Investigation of Library Services for the Elderly, Institutionalized, Mentally Ill to Arrive at an Optimum Program Through the Establishment of a Library (Rhode Island State Library Agency)	Deirdre Donohue	Older Americans	Single Year (1972)	75,000
45. A Demonstration Pilot Program of Comprehensive Library Services for the Aged in Selected Kentucky Communities (Institute for Lifetime Learning)	Lawrence Carlson	Older Americans	Multi-year (1972-1973)	139,921
46. Serving Senior Patrons: Integrated Media Library Staff Training Package (University of Denver)	Ruth Katz	Older Americans	Single Year (1976)	84,667
47. The Planning, Development and Demonstration of a Delivery System of Library and Learning Services in a Ten-County Rural Area of Oklahoma (Eastern Central State College)	Robert Garner/ Henry Hicks	Rural Residents	Multi-year (1972-1974)	132,372

TABLE F: (Continued)

Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
		TARGET GROUPS (Continued)		
48. Information and Referral Service for the Residents of Maryland's Eastern Shore (Maryland State Library Agency)	Mary Eidleman	Rural Residents	Multi-year (1975-1976)	$ 128,710
49. Development and Testing of Methodology for Planning Urban Information Services (Baltimore Regional Planning Council)	--	Urban Residents	Single Year (1971)	194,000
50. The Development of Strategies for Dealing with the Information Needs of Urban Residents (University of Washington)	Brenda Dervin	Urban Residents	Multi-year (1974-1976)	196,864
51. Exemplary Public Library Reading and Reading Related Programs for Children, Youth and Adults (Barss, Reitzel and Association)	Lawrence Barss	Other	Single Year (1972)	10,000
52. Survey of Library and Information Problems of Prison Populations (University of California, Berkeley)	Charles Bourne	Other	Single Year (1972)	77,475
53. Minority Program Development for Libraries and Learning Resources (Florida A&M University)	Nicholas Gaymon	Other	Single Year (1972)	115,935
54. Research Reports - Ethnic Groups for Handbook on the Adult New Reader and His Readings (University of Wisconsin)	Helen Lyman	Other	Single Year (1973)	11,710

TABLE F: (Continued)

Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
	TRAINING			
55. Technological Applications Project (United States International University)	Floyd Urbach	Training	Single Year (1971)	$ 199,396
56. Development and Furnishing of Instruction Guide (Catholic University of American)	Elizabeth Stone	Training	Single Year (1972)	2,500
57. 1971-1973 North American Library Education Directory and Statistics (Indiana University)	Sarah Reed	Training	Single Year (1973)	11,087
58. The Process of Answering Reference Questions. A Test of a Descriptive Model (Florida State University)	Gerald Jahoda	Training	Multi-year (1974-1975)	65,341
59. Library Administration Simulation Project (Worcester Public Library)	Barbara Weaver	Training	Multi-year (1974-1975)	13,940
60. Library School Educational Program Without Walls (University of S. California)	Martha Boaz	Training	Multi-year (1975-1976)	130,900
61. Development of a Model Interdisciplinary Continuing Education Curriculum for Librarians (Metropolitan Washington Council of Governments)	Marilyn Gell	Training	Single Year (1975)	34,406
62. Training of Library Personnel in Remote Areas Via the Communications Technology Satellite (University of Denver)	Margaret Knox/ Ruth Katz	Training	Multi-year (1974-1975)	179,758
63. Training Library Communication Skills: Development of Three Videotape Workshops (University of Arizona)	Helen Gothberg	Training	Multi-year (1975-1976)	38,161

TABLE F: (Continued)

Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
	TRAINING (Continued)			
64. Improving Library Education for Selected Minorities (Arizona State University)	Norman Higgins	Training	Single Year (1976)	$ 23,394
65. A Model Continuing Education Recognition System in Library and Information Science Including Provision for Nontraditional Studies and Development of a Prototype for Home Study Programs (Catholic University of America)	Elizabeth Stone	Training	Single Year (1976)	81,800
	OTHER			
66. Retrospective Conversion Pilot Project (Project RECON) (Library of Congress)	Henriette Avram	Catalog Conversion	Single Year (1971)	96,700
67. Commissioned Papers Project (Columbia University)	Phillip Lange	Educational Technology	Single Year (1971)	126,847
68. Study for Design of an Optimum System for Mail Order Book Delivery System in the State of Washington (Washington State Library Agency)	Mary Jane Reed	Mail Order Delivery Systems	Single Year (1973)	7,760
69. A System Analysis of the Library and Information Science Statistical Data System: The Research Investigation (University of Pennsylvania)	Morris Hamburg	Management Information Systems	Multi-year (1971-1972)	13,000
70. Center of the Study of Information and Education (CSIE) (Syracuse University)	Donald Ely	Policy Issues	Multi-year (1972-1974)	226,862

TABLE F: (Continued)

Project Name/Sponsor	Project Director	Research/Demonstration Subject Area	Funding Period	Level of HEA II-B R&D Program Support
	OTHER (Continued)			
71. Preparation of Two Directories of OE Funded Research in Library and Information Sciences (Operations Research Inc.)	T. Brandhorst	Policy Issues	Single Year (1976)	$ 20,450
72. Study and Development of Automated Instructional Materials-Handling Program (Los Angeles City Unified School District)	Mildred Frary	School Media Centers	Multi-year (1971-1973)	281,862
73. Computer Based Systems for Increasing Information Research Access to School Media Center Material: Research, Demonstration, Education (University of North Carolina)	Theodore Hines/ Mary Johnson	School Media Centers	Single Year (1976)	52,623
74. Planning for the 1973 ATS-6 Satellite Educational Experiment for the Rocky Mountain States (Federation of Rocky Mountain States)	Jack Campbell	Technology	Single Year (1972)	215,000
75. A Research Project to Determine the Student Acceptability and Learning Effectiveness of Microform Collections in Community Junior Colleges: Phase III (American Association of Junior Colleges)	Dale Gaddy	Technology	Single Year (1972)	68,438

APPENDIX G

RESEARCH AND DEMONSTRATION PEERS

1. Katherine Adams
   Rochester Public Library
2. Ellen Altman
   Indiana University
3. Pauline Atherton
   Syracuse University
4. John Aubry
   Michigan Library Consortium
5. Russell Bidlack
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6. David Berninghousen
   University of Minnesota
7. Jolene Bock
   Appalachian State University
8. Michael Buckland
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9. Charles Bunge
   University of Wisconsin
10. Genevieve Casey
    Wayne State University
11. Margaret Chisholm
    University of Washington
12. Martha Dosa
    Syracuse University
13. Sylvia Faibisoff
    University of Arizona
14. Pauline Franks
    University of Akron
15. Herbert Goldhor
    University of Illinois
16. Larry Hayes
    State Regent/Oklahoma
17. Brigitte Kenney
    Drexel University
18. Albert Liu
    Old Dominion University
19. Philip Long
    Philip Long Associates, Inc.
20. James Kennedy
    OCLC
21. Malcolm Knowles
    North Carolina State Univ.
22. John McDonald
    University of Connecticut
23. Myles Martin
    University of Toledo
24. Cheryl Metoyer
    Univ. of California at L.A.
25. Edward Olson
    University of Maryland
26. Deborah Patton
    University of Texas Hospital
27. David Remington
    Library of Congress
28. Marilyn Salazar
    American Library Association
29. Bernie Schlesinger
    University of Rhode Island
30. Ralph Shoffner
    Ringgold Corporation
31. Russell Shank
    Univ. of California at L.A.
32. Brooke Sheldon
    Texas Women's University
33. Joseph Shubert
    New York State Library Agency
34. Barbara Smith
    Portland (Ore.) Public Library
35. Teresa Strozik
    State University of New York
36. Robert Taylor
    Syracuse University
37. Don Walker
    New York Public Library
38. David Weber
    Stanford University Library
39. Herb White
    Indiana University
40. Martha Jane Zachert
    Florida State University
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42. Name withheld upon request

NOTE: Institutional affiliations shown here may have changed subsequent to completion of the survey in October of 1977.